2017 ANNUAL SECURITY AND FIRE SAFETY REPORT

Caltech
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Caltech is a world-renowned science and engineering institute that marshals some of the world’s brightest minds and most innovative tools to address fundamental scientific questions and pressing societal challenges. Caltech is small but prizes excellence and ambition. The Institute has one of the nation’s lowest student-to-faculty ratios, with 300 professorial faculty members offering a rigorous curriculum and access to varied learning opportunities and hands-on research to approximately 1,000 undergraduates and 1,250 graduate students. Caltech is an independent, privately supported institution with a 124-acre campus located in Pasadena, California.

Caltech is committed to ensuring the safety and security of its community. This 2017 Annual Security and Fire Safety Report not only provides crime and fire statistics for calendar year 2016, but also details Caltech’s crime-prevention and safety-related services and programs, as well as the resources Caltech has developed to educate and empower current and prospective students and employees. Although it is published in response to federal requirements, maintaining a safe environment for the free and open exchange of ideas is very much part of the Institute’s mission and reflects its values. Caltech’s Honor Code, which states that “No member of the Caltech community shall take unfair advantage of any other member of the Caltech community,” has guided the campus since the Institute’s earliest days. This means that all in our community play an active role in ensuring campus safety and security; one way to do that is to review this report and follow the guidance and recommendations.

For additional information on campus security and safety, contact Caltech’s Department of Security and Parking Services at (626) 395-4701. For additional information on fire safety, contact Caltech’s Environment, Health, and Safety Office at (626) 395-6727.
Caltech has formed a Clery Committee, which is a campuswide and highly collaborative team co-chaired by Caltech’s Chief of Campus Security and Parking Services (“Chief of Security”) and Caltech’s Assistant Vice President for Equity, Accessibility, and Inclusion Initiatives, and Title IX Coordinator. This committee oversees Clery compliance at Caltech and manages how Caltech tracks crime statistics, documents security incidents, and implements and ensures campus safety and programming. Members of the committee represent Security; the Title IX office; the undergraduate and graduate Deans’ offices; Athletics; Environment, Health, and Safety Office; Housing; Caltech Center for Diversity; Health and Counseling Services; Residential Life; and Human Resources.

The charge of the Clery Committee is to:
- Ensure effective compliance with the law;
- Develop programs and policies to address compliance;
- Identify, notify, and educate the Caltech community about crimes on campus;
- Train and support Campus Security Authorities (CSAs);
- Meet to discuss Timely Warnings and emergency notifications;
- Review the Annual Security and Fire Safety Report;
- Notify the community regarding how to access Clery information, including the daily crime log; and
- Monitor and assess Clery programs and initiatives.

Clery Communications at Caltech
The Clery Committee is committed to broad-based communication with the Caltech community; to that end, the ASFSR is sent to all members of that community by October 1 each year. In 2016, Caltech unveiled a Clery web page with information on educational and training programs, crime reporting (including how to make an anonymous report), crime statistics, security policies and procedures, and the ASFSR. The ASFSR is also posted on the Caltech Security web page and the Title IX web page, and a link is included in communications with prospective students and employees.
The preparation of the ASFSR is a collaborative effort by the Clery Committee, and is a community undertaking that engages multiple offices throughout the Institute. Report preparation generally begins with a Clery retreat at which the Committee develops, evaluates, manages, and reviews various aspects of Clery compliance and programming. The purpose of the ASR is to inform the community on campus safety policies, programs, and practices to ensure a safe and secure community.

Subcommittees of the Clery Committee:

- Review policies, processes, and programs, including the Timely Warning procedure, the emergency notification procedure, and fire policies;
- Identify initiatives that contribute to efforts to prevent and respond to campus crimes; and
- Strengthen the Institute’s compliance efforts, including Caltech’s compliance with the information and programs required by the Violence Against Women Reauthorization Act.

Reviewing and Confirming crime statistics

Crime statistics are gathered by Caltech Security from multiple sources, including security incident reports, Title IX reports, information received from the Pasadena Police Department and reports from Campus Security Authorities. Under very limited circumstances, pursuant to federal guidance, the Institute may remove reports of crimes that have been deemed “unfounded” by the Pasadena Police Department or other law enforcement officials. In such cases, the crime statistics will indicate that a crime was “unfounded.” Crime statistics do not disclose any identifying information about a complainant, respondent, or third parties.

As required by the Clery Act, statistics are reported for Clery crimes that occur on campus, on public property within or immediately adjacent to the campus, and on non-campus properties that Caltech owns or controls. Crime statistics and definitions are attached to this report in Appendix A and Appendix B, respectively. Pursuant to guidance issued in the 2016 edition of the Handbook for Campus Safety and Security Reporting, Caltech classifies off-campus faculty and student housing properties that are within one mile of the campus as on-campus properties.

Crimes reported in the ASFSR are: criminal homicide including murder/non-negligent manslaughter and manslaughter by negligence; sex offenses including rape, fondling, incest, and statutory rape; robbery; aggravated assault; burglary; motor vehicle theft; arson; illegal weapons possession; liquor law violations; and drug law violations. Any of the above crimes—as well as incidents of larceny-theft, simple assault, intimidation, destruction/damage/vandalism of property—that were motivated by reported bias, are listed as hate crimes. Bias means a preformed negative opinion or attitude toward an individual or group of persons based on their race, national origin, religion, disability, sexual orientation, gender, gender identity, or ethnicity.

The crimes reported in the ASFSR that are covered by Title IX include sexual assault, stalking, dating violence, and domestic violence.
**Organizational Structure and Role**

Caltech Security exists to provide a stable environment for research, education, and employment in which security concerns are balanced with freedom of movement in an open campus atmosphere while protecting the life and property of the faculty, students, staff, visitors, and guests of the Institute.

The Chief of Security, who has substantial police and security experience, leads the department. The Director of Security Operations manages the uniformed supervisors and field officers, and is supported by a Manager of Technical Operations and a Training Supervisor, the latter of whom develops and implements training for uniformed field personnel. Four uniformed supervisors provide direction to the unarmed, uniformed field officers assigned to their shifts. There are 21 field officers employed by the Institute and assigned to the campus.

Additional officers are added to the security force as needed for special events and to maintain campus security. All Security staff are integrated into the campus emergency response organization in the event of a local or regional disaster. Certain members of the Security staff are trained in the National Incident Management System (NIMS) and have Incident Command System (ICS) certifications. The uniformed supervisors and field officers are trained as “first responders” (emergency medical personnel) for emergency situations requiring medical stabilization beyond simple first aid and cardiopulmonary resuscitation (CPR).

Other, non-uniformed employees in Caltech Security include a Security Systems Administrator, a Transportation Coordinator, a Parking Coordinator, a Parking Enforcement Officer, and a department assistant. The Security Systems Administrator is responsible for all security-related technology on the campus, including electronic access control, alarm systems, and closed-circuit television (CCTV). The Transportation Coordinator manages carpool, vanpool, and other alternative transportation programs. The Parking Coordinator, supported by the department assistant, handles all aspects of parking on the campus including registration, reserved space assignments, and parking enforcement. The Parking Enforcement Officer ensures safe parking on campus and enforces campus parking regulations.

Security provides 24-hour patrol service, incident response, and other security-related services such as escorts and help with lock-outs, vehicular accidents, and medical emergencies on the Caltech campus and its off-campus properties. Extra patrols and additional personnel are utilized for security when there is an apparent need. Security patrols all student housing and campus facilities.

Security coordinates outside emergency response units called to the campus, such as the Pasadena police, fire, and paramedic departments; develops and implements security programs and regulations; enforces parking regulations; and is responsible for Caltech’s carpool, vanpool, and other alternative transportation programs.

Caltech Security investigates crimes and other incidents where appropriate in conjunction with the Pasadena Police Department, and may distribute information regarding a crime within Caltech on a need-to-know basis, for review, discussion, and/or follow-up action as deemed necessary.

Security maintains a website at [www.security.caltech.edu](http://www.security.caltech.edu). Crime prevention information is available on that site; this includes personal safety tips, how to contact Caltech Security, and information on Security escorts, as well as links to other sites for information concerning overall public safety, emergency planning, and reporting of all Title IX-related incidents, including sexual harassment, sexual violence, stalking, domestic violence, and dating violence.
Authority and Jurisdiction

The authority of Caltech’s uniformed security officers is defined in the California Penal Code, Section 837. Security is empowered to effect a citizen’s arrest, as is any other private citizen. A security officer can arrest a person for a misdemeanor committed or attempted in his/her presence and for a felony, even if not committed in his/her presence, if he/she has reasonable cause for believing the person arrested committed the crime. In addition, security officers can issue municipal parking citations under an arrangement with the City of Pasadena. Pasadena Police Department (PPD) has primary jurisdiction for all areas of campus and Pasadena. Caltech Security’s jurisdiction is restricted to the boundaries of the Caltech campus and campus properties. A map of the campus is located in Appendix C.

Working Relationship with State and Local Police

Caltech maintains a close working relationship with the PPD. Pasadena police officers are often called upon to aid in the arrest of individuals suspected of crimes on campus. Campus Security staff work with other state and federal law enforcement agencies as necessary, including the California Highway Patrol, Federal Bureau of Investigation, Secret Service, and the Department of Justice.

Members of the Caltech community who are the victims of a crime are also encouraged to report the incident to the PPD. Caltech will assist both the victim and the police in the investigation of crimes occurring at the Institute.

Security has established a memorandum of understanding (MOU) with the PPD. The MOU, which is reviewed and updated every five years, formalizes aspects of the working relationship between Caltech and the PPD, in compliance with California law.

Also in compliance with California law, the Institute discloses to the PPD reports of certain violent crimes, sexual assaults, and hate crimes. Reports are made without identifying the victims, unless the victims consent to being identified after being informed of their right to have their personally identifying information withheld. If a victim does not consent to being identified, the alleged assailant cannot be identified unless Caltech determines that the alleged assailant represents a serious or ongoing threat to the safety of students and/or employees at Caltech, and that the immediate assistance of law enforcement is needed to contact or detain the alleged assailant.

Accurate and Prompt Reporting

Caltech encourages prompt reporting of crimes and emergencies to Security and to the PPD. Security takes reports from all members of the Caltech community as well as from visitors, guests, and the broader community regarding criminal or other incidents.

Crime Log

Security maintains a daily log of all crimes reported to Security that occur within the Clery geography. The crime log includes the nature, date and time of the occurrence, date and time reported, general location of each crime, and the disposition of the complaint, if known. Only information whose disclosure of which is prohibited by law, or which would jeopardize confidentiality of the victim, will be withheld.

The most recent 60 days of crime log entries are available for review upon request at the Security Office located at 515 S. Wilson Ave., 2nd floor, during regular business hours (Monday to Friday, 8 a.m. to 5 p.m.). Any portion of the crime log older than 60 days will be available within two business days of a request for inspection.

Entries or additions to entries in the crime log are made within two business days of the information being reported to Security. The crime log does not contain personally identifying information of victims or witnesses to the alleged crime.
New Leadership
A new Chief of Security, Victor Clay, was hired to continue the growth of the Institute’s safety program. He arrived at Caltech in summer 2017 and is a critical member of the Clery team. Victor brings a law enforcement background to his role in Security. His goal is to provide world-class customer service to the Caltech community by following the principles of service, accountability, passion, integrity, and mutual respect.

Programming
Security has initiated a new series of programs including self-defense, safety awareness, and crime prevention. This programming will be available to the community to inform both students and employees of ways to be safe and to defend against aggression. The self-defense training is done by a newly hired certified professional on the Security team.

Anyone can make a report to Caltech Security at (626) 395-5000 (emergencies) or (626) 395-4701 (non-emergencies).
TIMELY WARNINGS

Caltech is committed to issuing Timely Warnings, per the Clery Act, in order to alert the campus community to potentially dangerous criminal situations. Timely Warnings will be made for Clery-reportable crimes in a manner that is timely and intended to aid in the prevention of similar crimes. Examples may include sexual assaults involving date rape drugs; armed robberies; and burglaries. Security bulletins are sent for crimes and situations not covered by the Clery Act.

The criteria for a Timely Warning:
- Clery-reportable crime (see list below),
- situation that occurs on geography defined by Clery as “on campus,” “non campus,” or “public property,”
- situation reported to a Campus Security Authority (CSA) or local law enforcement officer, and
- situation that represents a serious or continuing threat to students and/or employees.

Clery-reportable crimes include:
- Criminal homicide, including murder and manslaughter (negligent and non-negligent)
- Sex offenses
- Robbery
- Aggravated assault
- Burglary
- Motor vehicle theft
- Arson
- Hate crimes (including any of the above offenses, as well as any incidents of larceny/theft, simple assault, intimidation, or destruction/damage/vandalism of property that were motivated by bias)
- Domestic violence
- Dating violence
- Stalking
- Arrests and disciplinary referrals for violation of weapons, drug abuse, and liquor laws
Clery-defined geography for Timely Warnings:
- On campus including Caltech properties within one mile of campus
- On public property immediately adjacent to campus, such as sidewalks and streets
- Non-campus properties that are owned or controlled by Caltech

Whether a crime meets the requirements for a Timely Warning will be evaluated by the Chief of Security, the Director of Security Operations, and/or the Assistant Vice President for Equity, Accessibility, and Inclusion Initiatives/Title IX Coordinator, or their designees, on a case-by-case basis. The decision will be made in light of all the facts surrounding the incident, including but not limited to:

- the nature of the incident;
- whether there is a continuing danger or ongoing threat to the campus community; and
- the possible risk of compromising law enforcement efforts.

If a decision is made that the Timely Warning requirements are met, a Timely Warning will be sent as soon as all pertinent information is available.

Timely Warnings made to the Caltech community include information about the crime that triggered the warning as well as information intended to promote safety and aid in the prevention of similar crimes. Timely Warnings are developed in consultation with the Chief of Security or the Assistant Vice President for Equity, Accessibility, and Inclusion Initiatives/Title IX Coordinator, or their designees, if they are unavailable. The warnings are provided to the Incident Commander or the Vice President for Student Affairs, or their designees, for review and approval.

Timely Warnings are emailed to students, staff, and faculty, and are posted on the Caltech Security website.

The type of crime and whether it occurred on campus or in Clery-defined non-campus or public properties will be included. Victims’ names and other identifying information will not be disclosed, but a Timely Warning may include the name, identifying information, or other characteristics of the accused.

Documentation regarding Timely Warnings is maintained by the Clery subcommittee at the Institute.
Caltech Security takes reports from all members of the Caltech community, including visitors, guests, parents, third parties, and anonymous reporters. Caltech encourages all members of the community to accurately and promptly report crimes and emergencies to Security, especially if the victim of a crime elects to or is unable to make such a report. Reporting is critical to developing and disseminating Timely Warnings to the campus, creating programming, and being transparent about crime on campus in order to promote an informed, safe, and secure environment.

All community members are also encouraged to report crimes to the Pasadena Police Department. If requested, Security will call the police to the crime scene and assist the victim in filing a report. Victims and witnesses will be assisted, upon request, with transportation to and from off-campus resources.
**CAMPUS EMERGENCY PHONES**

Caltech has 23 “blue light” emergency telephones: 20 are on-campus telephones; three are in the Catalina Apartments housing complex. The phones are “push to talk” and connect directly to Security Dispatch, which is staffed 24 hours a day.

**EMAIL ADDRESS AND EVERBRIDGE MOBILE APP**

Security can be also be contacted through its emergency email address, 5000@caltech.edu, and through Everbridge’s mobile app. The app allows Caltech community members to immediately report an emergency or suspicious activity via text to the Security dispatcher, and has an option to include a photo with the message.

Instructions for downloading and installing the Everbridge mobile app are available at https://security.caltech.edu.

Information on the Everbridge program and other security programs and tools are also part of the annual Caltech training and education plan.
Campus Security Authority Definition

The Clery Act definition of a Campus Security Authority (CSA) is 1) a campus police department or a campus security department of an institution; 2) any individual or individuals who have responsibility for campus security but who do not constitute a campus police department or campus security department under part (1) of this definition, such as an individual who is responsible for monitoring entrances into institutional property; 3) any individual or organization specified in an institution’s statement of campus security policy as an individual or organization to which students and employees should report criminal offenses; 4) an official of an institution who has significant responsibility for student and campus activities, including, but not limited to, student housing, student discipline, and campus judicial proceedings. If such an official is a pastoral or professional counselor, the official is not considered a Campus Security Authority when acting as a pastoral or professional counselor.

Campus Security Authority Role

CSAs complete annual training and each year are sent updated information regarding their roles. The Caltech Clery website provides online reporting forms as well as delineation of CSA responsibilities to ensure clarity about the role of the CSAs and how they can report concerns immediately. New CSAs are considered if a new or changed position includes significant oversight of student activities.

CAMPUS SECURITY AUTHORITIES (CSAs)

Caltech wants students and employees to have the option to report crimes to campus administrators with whom they may already have an association. Many administrators who work extensively with student groups are designated as CSAs to report crimes. They include Caltech’s:

- Vice President for Student Affairs
- Assistant Vice President for Student Affairs Operations
- Assistant Vice President of Equity, Accessibility, and Inclusion Initiatives and Title IX Coordinator
- Deputy Title IX Coordinators
- Dean of Undergraduate Students
- Associate Deans of Undergraduate Students
- Dean of Graduate Studies
- Associate Dean of Graduate Studies
- Registrar
- Executive Director of Undergraduate Admissions and Financial Aid
- Director of Financial Aid
- Director of Fellowships Advising and Study Abroad and the Career Development Center
- Caltech Center for Diversity Directors
- Director of Athletics, Physical Education and Recreation
- Assistant Athletic Director, Intercollegiate Operations
- Assistant Athletic Director, Recreation
- Athletic Coaches
- Director of Student-Faculty Programs
- Senior Director of Student Activities and Programs
- Director of International Student Programs
- Associate Director of International Student Programs
- Director of Housing
- Senior Director of Dining Services
- Residential Life Coordinators
- Resident Associates
- Division Administrators
- Employee and Organizational Development Consultants
- Student Event and Club Coordinator
- Student Club/Organization Advisors
Mandated Reporters

It is the policy of the Institute to provide a safe and secure environment for all members of the Institute community, including minors. To that end, all members of the Caltech community have a personal responsibility to report known or suspected child abuse and/or neglect. This is part of the Caltech community’s values and approach to care and concern.

Caltech has a Violence Prevention memorandum that describes Mandated Reporter responsibilities. A Mandated Reporter is an employee who is required by law to make a report to the appropriate authorities whenever, within their professional capacity, or within the scope of their employment, they have knowledge of or observe a child they know or reasonably suspect has been the victim of child abuse. Any Institute employee whose duties bring them into direct contact with children under 18 years of age on a regular basis or who supervise employees whose duties bring them into contact with children on a regular basis is a Mandated Reporter.

Mandated Reporters have the responsibility to report immediately or as soon as practicably possible by telephone to the LA County Child Protection Hotline (800) 540-4000 [or from out of state (213) 639-4500] or Pasadena Police Department 911 (for emergencies) or (626) 744-4501 (for non-emergencies), or to another local police department. For further information see the Violence Prevention memorandum.
Programs on Security Practices and Safety Awareness

Caltech Security develops programs to inform the community about campus security procedures and practices and to encourage the campus community, students, faculty, and employees to be responsible for their own safety and that of others. Crime prevention and personal safety tips are distributed periodically throughout the year to students and employees through training sessions and campus events. Programs include theft prevention, personal safety, and active shooter drills. Security also has an ongoing program, the “Security Blanket,” which involves informal discussions with students, faculty, and staff regarding personal safety and the importance of reporting incidents and suspicious activity to Security. A microfiber towel (i.e., a “Security Blanket”) is given to the people involved in the discussion; it is imprinted with instructions to call x5000 in the event of an emergency on campus and to call x4701 for routine reports and escorts.

Security also posts a “Be Alert!” handbook, which has personal and property safety tips, emergency and other important telephone numbers, report procedures, the locations of the Emergency Communications Center and Security office, parking regulations, and a map of the campus showing the locations of the emergency telephone stations. The “Be Alert!” handbook is discussed at student orientation and is available online.

Members of the Caltech community are also provided with personal safety and property security tips on an ongoing basis through security bulletins distributed via email, hard copy, and on the Security website. These bulletins repeatedly encourage members of the community to be responsible for their safety and security and that of others.

Security participates in the Institute’s orientation programs for new students, employees, and visiting students and faculty. These include:

- Two breakfast programs for first-year undergraduate students to review safety on campus and to identify ways in which the community can be prepared for and helpful in a crisis situation;
- An orientation for graduate students, in which Security reviews the ASFSR and talks about personal safety and the transportation program for students after hours, as well as about utilizing Security when there is a concern or issue; and
- Monthly new-employee orientation programs.

In all of these trainings, students and employees are encouraged to look out for themselves and others.

In addition, Security promotes a “See Something, Say Something” ongoing crime prevention program as a proactive measure for the campus community.

The Caltech Cares Committee participates in a collaborative effort to promote and support the academic success, health, and emotional well-being of the Caltech community. The committee focuses on suicide and violence prevention through outreach, awareness promotion, early engagement, training, and evaluation. Confidential resources and reporting processes are key topics on which this committee works to educate the campus community.

Security continually looks for ways to improve campus safety. Security conducts an annual All-Hands Training Day for Security staff to integrate campus efforts and provide updates on relevant and emerging topics.
Crime Prevention Programs

Security provides website resources including Tips for Personal Safety, Tips on Preventing ID Theft, Resources for Safety and Violence Prevention, and Institute policies regarding social crimes. Security also provides the ongoing crime prevention programs listed below.

- Bicycle Registration: All members of the campus community are encouraged to register their bicycles with Caltech Security. Officers make periodic sweeps of the campus and remove bicycles that have been left unattended for long periods of time. If a bike is registered, they will contact the registered owner prior to its removal. Additionally, if a bicycle is stolen, they will have information on file that may assist in its recovery.

- Security Escorts: Security provides escorts for the campus community on request. An officer will accompany a Caltech community member to or from locations on or off campus. Security encourages all staff, faculty, students, visitors, and guests to make use of this service.

- Lockouts: In the event that a Caltech staff member, faculty member, or student is locked out of a Caltech facility, such as a room, office, or lab, Security will assist them in gaining access during non-business hours. The security officer will request the individual’s Caltech identification and document the information prior to providing the requested assistance. If a staff member, faculty member, or student has requested access to a building that has electronic access, the officer will verify that the individual has card access to the building prior to admitting them.

- Patrol: Security provides 24-hour patrol service to campus and off-campus facilities. Patrol is provided by a variety of methods including foot, electric cart, and motor vehicle. Additionally, officers are assigned to provide specific coverage to on-campus undergraduate housing and the Catalina Apartments complex.

Crimes Involving Student Organizations

All recognized student organizations are based on the Caltech campus. There are no student organizations with non-campus locations at Caltech.
Campus Safety Awareness Programs
Caltech Security oversees a number of programs specifically designed to inform students and employees about campus safety and crime prevention. Programs for 2016 included the following:

Annual Faculty, Student, and Staff Awareness Program: “See something, Say something”—August 1-15, 2016
Topics: Importance of “See something, Say something” information on the campus emergency notification system, and how to access the program. The uniformed staff patrolled campus handing out water bottles to engage the community.

Annual Symposium on Individual, Family, and Community Preparedness—October 20, 2016
Topics: Educating the campus community about Security’s Urban Search and Rescue training and the ability to respond in the event of an emergency; interaction with the attendees to build a positive relationship and an understanding of Security’s responsibilities.

Annual Security Awareness Week, Campus Convention—November 15-17, 2016
Topics: Emergency management; daily crime logs; annual disclosure of crime statistics; campus security policies; crime prevention and safety awareness programs; emergency numbers and other contact numbers; access policy; associated health risks and campus resources; and Security’s mission statement.

RA and Deans’ Conference—February 9, 2016
Topics: Enforcement of the alcohol policy, instructions on the emergency notification system, and instructions on the new app provided by the emergency notification contractor.

RA Seminar—March 1, 2016
Topic: discussion on implementation of, protocol around, and law regarding drug guidelines and reporting policies.

Annual ritual (Ditch Day) involving students from every student residence hall—May 11, 2016
Topics: Safety and security around planned events on and off campus.

Athletics Staff and Coaches Discussion—June 8, 2016
Topics: Crime reporting, emergency response and evacuation procedures, and the responsibilities of athletics staff and coaches as Campus Security Authorities.

Forum hosted by undergraduate and graduate deans—August 31, 2016
Topics: Updated protocols regarding alcohol policies as well as Security’s reporting and enforcement policies.

International Students’ Roundtable—September 2, 2016
Topics: The role of the police in American society; reporting crimes and other emergencies; safety tips to ensure a safe and positive college campus experience.

Uniformed Security Officer Workshop and Conference—September 6, 2016
Topics: Training in topics including but not limited to Title IX, Clery crimes, first responder updates, students in crises, sexual assault protocols, alcohol and drug policies, community public relations, and racial bias.

New Graduate Student Orientation—September 20, 2016
Topics: Safety and security issues relevant to housing, campus, and surrounding areas; emergency notification system; general information about crime reporting; and Security’s responsibilities and obligations.
Freshman Orientation—September 22-23, 2016
Topics: Prevention of crime through awareness and reporting of suspicious activities; available resources; safety tips when traveling off campus; techniques to avoid being a victim of a crime; and summary of Security’s responsibilities.

Topics: Improving interactions with different support groups; identifying specific obligations of Security at campus events or unauthorized parties; alcohol and drug policies.

Bagel Monday in Graduate Housing
Topics: Residents of the Catalinas graduate housing complex are invited to a “meet and greet” to get to know Caltech Security staff.

New Employee Orientation—Monthly
Topics: Crime prevention, including escorts, security measures regarding property crimes, reporting protocols, personal safety tips, and general information about the security staff.

JPL Foreign National Security Briefings—Weekly
Topics: All JPL personnel are briefed on security processes and procedures as they relate to the protection of information, assets, and resources that are entrusted to them as part of their JPL assignment: specifically, personnel working on programs requiring access to classified, sensitive, or export-controlled data items.

Explore JPL: JPL Open House—May 2016
Protective Services Division (PSD) developed an Operations Plan to protect people and safeguard the facility, and provide a timely, coordinated response to all emergency situations.

JPL Foreign National Escort Training—Annual
All JPL employees who wish to escort Foreign Nationals on lab must complete, on an annual basis, the NASA Foreign National Escort Training Module via the NASA SATERN training webpage.

JPL Surviving a Violent Encounter—May 2016
The training focused on options and techniques for how to survive an active shooter situation both at work and in public places. It explained how NOT to become a victim and how to increase one’s odds dramatically in surviving a surprise violent confrontation with an active shooter.
Caltech encourages all members of the campus community—as well as those outside the community—to report campus-related crimes, even if they choose to do so anonymously. There are no restrictions as to who can make an anonymous report directly to Caltech Security or through one of Caltech’s hotlines. These hotlines offer an opportunity to report an issue to Caltech without identification of any kind. Each fall, the Institute sends a memo reminding the community of the hotline and the opportunity to come forward with a concern anonymously. Caltech addresses anonymous reporting in several policies including Sexual Misconduct, Whistleblower, and Unlawful Harrassment policies as well as the Caltech Code of Conduct.

**ANONYMOUS REPORTING OPTIONS**

- **Campus Security:** (626) 395-5000
- **Campus Hotline:** (626) 395-8787 or (888) 395-8787
- **JPL Protective Services:** (818) 393-3333
- **Submit a Complaint:** [HOTLINE CONTACT FORM](#)

These reporting options are publicized in every campus training session related to sexual misconduct.
Some members of the Caltech community may prefer to talk about crimes to one or more of the professional counselors or others who can serve as confidential resources on campus. Professional counselors at Caltech play an important role in supporting the Caltech community. They provide confidential help and support by listening, offering options, and helping people decide what plan of action feels most comfortable. Professional counselors will not report crimes to the Institute.

Professional Counselors
Mental health professionals in Caltech’s Student Counseling Center and Staff and Faculty Consultation Center provide mental health counseling and consultation services to the campus community. They are specifically exempt under the Clery Act from disclosing reported offenses. This exemption is intended to protect the counselor-client relationship. These professionals also are prohibited from breaking confidentiality unless there is an imminent threat of harm to self or others, or as otherwise permitted by law. When reported information involves suspected abuse or neglect of a minor under the age of 18, these professionals are required by state law to notify Child Protective Services and/or local law enforcement. Caltech counseling professionals have procedures to inform people how to report crimes on a voluntary confidential basis. The Institute does not have pastoral counselors.

CALTECH STUDENT COUNSELING SERVICES
1239 Arden Rd. | (626) 395-8331
After hours: (626) 395-8331
Press “2” to be connected with a clinician.
If you are seeking support for a Title IX/sexual assault, let the clinician know and you will be connected to appropriate resources.

STAFF AND FACULTY CONSULTATION CENTER
315 S. Hill Avenue | (626) 395-8360

Both Caltech Student Counseling Services and the Staff and Faculty Consultation Center will share information with students and employees, respectively, about how they can make reports of their own—annonymously or not—to Caltech and/or law enforcement. This information, along with Caltech’s protocols on disclosure, is included in the annual CSA and Clery trainings, on the Clery and Title IX web sites, in publications, and in online and in-person training.
Other Confidential Campus Resources

The confidential resources listed here, while not professional counselors, also serve as confidential support for the Caltech community. Unlike professional counselors, they are not exempt from Clery reporting. These confidential resources will not share any personally identifying information with the Institute. They only provide statistical information which includes type of crime, date, time, and general location. Names are not reported by confidential resources.

CALTECH CENTER FOR DIVERSITY RESOURCES

ERIN-KATE ESCOBAR
Assistant Director, Center for Diversity
Center for Student Services 268
(626) 395-3221
ekescoba@caltech.edu

ANASTASIOS (TASO) DIMITRIADIS
Assistant Director, Center for Diversity
Center for Student Services 269
(626) 395-8108
taso@caltech.edu
Access
Caltech is an open campus. Security officers are authorized to stop and question a person if the security officer (1) has a reasonable suspicion that the person may have committed, may be involved in committing, or may be about to commit a crime; (2) believes that the person may be a hazard to themselves, others, or property; or (3) believes that the person should be interviewed to prevent a possible crime. Additionally, security officers are encouraged to provide information and assistance to all members of the Caltech community and its visitors and guests.

Academic buildings and on-campus undergraduate housing are controlled by electronic card keys. Access to undergraduate housing is controlled 24 hours a day. In addition, the Housing Office reviews student access to residential facilities on a monthly basis to identify students who should no longer have access to student housing, and works with Security to remove campus housing access for those students. Students in Caltech-owned off-campus apartments use card access for laundry and recreation rooms only. Security patrols residential housing and has perimeter cameras on several campus housing facilities. There is increased security presence at large house events.

Campus buildings are normally locked after 5 p.m. and are unlocked after 5 a.m. Monday through Friday, except for Institute holidays. Patrols of buildings after 5 p.m. ensure that Caltech Security is aware of activity in the building after hours.

Buildings remain locked 24 hours a day on weekends and holidays. However, upon request and subsequent approval from division administrators, the registrar’s office, or a building scheduler, buildings, labs, and offices may be opened for meetings and classes. Students may be provided keys in order to use certain offices and labs.

Students, both undergraduate and graduate, living in on-campus or Caltech-owned off-campus housing are provided with either a combination lock or key lock for their residence. Students are responsible for keeping their individual rooms or apartments locked.

Patrols and Escorts
Security officers are assigned to patrol the campus 24 hours a day, seven days a week. Campus housing owned by Caltech is also patrolled on a regular basis, 24 hours a day, seven days a week by an assigned security supervisor or lead security officer.

When requested, Security provides escorts to members of the Caltech community, including those who live within a reasonable walking distance from the campus in both Caltech-owned and non-Caltech housing. The service is provided to and from the campus as well as to and from buildings and parking areas located on the campus.

All members of the campus community are requested to report incidents such as theft and suspicious activity or persons to Security. Students are urged to be responsible for their personal safety in student housing facilities and are advised to call Security at (626) 395-5000 and/or the Pasadena Police Department in an emergency situation.

Security Considerations in the Maintenance of Campus Facilities
Security regularly checks to make sure pathways are well lit. Maintenance issues (for example, a burned-out pathway light) are reported to the Facilities Maintenance Service Center for repair.

Security improvements over the past 18 months include the installation or upgrade of six facility proxy readers to limit facility access to authorized Caltech users only. In addition, four video cameras, three alarm systems, and three panic buttons were installed in staff offices. There are plans to install at least five more proxy readers and one video camera over the next 24 months.
EMERGENCY RESPONSE PROCEDURES

Emergency Management
Caltech is dedicated to providing a safe and secure environment for its students, faculty, staff, visitors, and guests every day. Caltech is prepared to respond to emergency situations 24 hours a day, seven days a week. The Campus Emergency Management Plan outlines the Institute’s emergency preparedness and response plan. The CEMP identifies activation procedures, command structure, communication protocols, and response procedures for specific incidents that could affect the safety and well-being of members of the campus community.

Caltech’s robust emergency preparedness and response program includes the ongoing development of response and recovery plans, as well as the training and exercising of our emergency response teams, volunteers, and campus community members. Resources on emergency procedures and personal preparedness to the campus community are provided through various outreach events and are available online and in printed materials.

Community members can obtain information on emergency communications, specific incident response procedures, training opportunities, and resources on personal preparedness by visiting www.emergencypreparedness.caltech.edu.

Emergency Notification Process and Assessment and Notification of a Threat
In a significant emergency or dangerous situation on campus, Caltech Security will immediately respond, investigate, and make an initial determination as to whether there is an immediate threat to the health and/or safety of the campus community. They will make this determination based on information gathered from relevant sources, including but not limited to, officers at the scene, Pasadena Fire or Police, other local, state and federal agencies, and individuals inside and outside the Caltech community who provide information.

As soon as Caltech has confirmed that a significant emergency or dangerous situation is occurring on campus involving an immediate threat to the health or safety of students or employees Caltech will:

- Take into account the safety of the campus community;
- Determine what information to release about the situation; and
- Begin the notification process.

Confirmation means that Caltech has verified that a legitimate emergency or dangerous situation exists. Confirmation doesn’t necessarily mean that all of the pertinent details are known or even available.

The only reason Caltech would not immediately issue a notification for a confirmed emergency or dangerous situation would be if doing so would, in the professional judgment of the responsible authorities (Pasadena Fire or Police, other local, state and federal agencies), compromise efforts to:

- Assist a victim;
- Contain the emergency;
- Respond to the emergency; or
- Otherwise mitigate the emergency
Determining the Segment of Campus Community to Receive Alerts
Caltech has the option to determine the segment of the campus community to receive the emergency notification. However, in most cases, including where a pre-scripted message is sent, Caltech will send the emergency notification to all individuals in the campus alert system. If only a segment of the campus community is notified, there will be a continuing assessment of the situation and additional segments of the campus community may be notified if a situation warrants such action.

Pre-scripted messages sent by a security supervisor or security dispatcher will be sent to the all individuals in the campus community. Where other than pre-scripted messages are to be sent, the Chief of Security, Director of Security Operations, Incident Commander, or designees will review the facts known to them at the time, including but not limited to, the type and scope of the threat, the risk to health or safety, the date and time of day (e.g., whether students and/or employees are on campus), and other relevant information gathered, and will determine whether to notify all or a portion of the campus staff, faculty, and students.

Determining Content of the Alert
The individuals set forth below will, without delay, and taking into account the safety of the community, determine the content of the notification and initiate the notification system, unless issuing the notification will, in the professional judgment of responsible authorities, compromise efforts to assist a victim or to contain, respond to or otherwise mitigate the emergency.

The content of the notification will be determined after review of the facts known to them at the time, including but not limited to, the type and scope of the threat, the risk to health or safety, the date and time of day (e.g., whether students and/or employees are on campus), and other relevant information gathered. The notice will include the nature of the emergency and instructions to the community on appropriate actions. Prescribed templates are used as set forth below.

Initiating the Emergency Notification (Caltech Alert) System
The individuals below are authorized to send emergency notifications without consultation or approval (except as noted) when a situation exists that threatens the life or safety of individuals on campus. Emergency notifications are called “Caltech Alerts.”

Pre-scripted Caltech Alerts may be used. Individuals authorized to issue pre-scripted Caltech Alerts without further approvals include:

- Campus Security Supervisors
- Campus Security Dispatchers, at the direction of any of the authorities identified below.

In addition to the use of pre-scripted messages, where appropriate, the following individuals are authorized to determine the content of (as set forth below) and direct the issuance of a Caltech Alert without further approvals:

- Chief of Campus Security
- Director, Campus Security
- Assistant Director, Campus Security
- Incident Commander
- President, Vice Presidents, and General Counsel

All Emergency Notifications will begin with the words “Caltech Alert” and will include the nature of the emergency and instructions to the community on appropriate actions.

Additional follow-up Caltech Alerts may be sent in consultation between the Chief of Security and the Incident Commander or other senior Institute officials. When possible, the Public Information Officer will also have an opportunity to review follow-up Caltech Alerts.

Once an emergency has been resolved, an “all-clear” communication will be issued and contain relevant information to the resolution of the emergency. An example of this would be “The armed intruder has been taken into custody by law enforcement. There were no injuries to members of the Caltech Community.”
Dissemination Methods
Notifications sent via Caltech Alerts may include any of the following methods of dissemination: voice calls/messages to landline and mobile phones, e-mail, text messages to mobile phones, and alerts to the Everbridge mobile app. In order to receive emergency notifications via Caltech Alerts, all members of the Caltech community should ensure that their emergency contact information is up to date in the personal information section of Caltech Access.

Caltech has contracted with its mass notification provider, Everbridge, to provide the campus with an interactive emergency communications tool. The Everbridge mobile app also gives users the ability to communicate via text and send photographs of suspicious persons/events directly to Caltech Security.

Notifications Outside Campus Community
If appropriate, including but not limited to as a way to notify individuals and/or organizations outside of the campus community, information may also be posted on the Caltech website, Facebook and/or Caltech’s Twitter feed, recorded messages may be placed on the emergency information lines at 1-888-427-7465 and 1-888-427-7512, messages may be relayed through VHF radio or runners, and hard copy postings may be made in strategic locations on campus. These communications will be coordinated through the Public Information Officer.
Emergency Response Drills and Exercises

Caltech’s Campus Emergency Management Plan is tested and evaluated through numerous exercises and drills designed for assessment and evaluation of emergency plans, procedures, and capabilities. Caltech follows established Institute procedures and schedules annual drills, publicizing the emergency response and evacuation procedures in conjunction with the test to educate the campus community. These exercises are broadly publicized and include the nature of the exercise and the date and time of the exercise. In addition, information is provided to the community regarding access to emergency plans and evacuation procedures in conjunction with the test. Assessment and evaluation plans are part of each drill and exercise. Information on campus emergency preparedness, including annual reports, is available online.

Caltech performs quarterly campuswide tests of its electronic notification system. Additionally, exercises are conducted on a regular basis to test the response and capabilities of the Emergency Operations Center (EOC) and associated campus critical operations.

One such drill is the annual statewide Great California ShakeOut, which occurs in October. All members of the Caltech community—including students, faculty, and staff—are advised of the drill and encouraged to participate. This drill is broadly announced through the weekly Ion Caltech newsletter for the Caltech community, community-wide email messages, Everbridge alert system, and specific communications to building coordinators, floor wardens, and division administrators. An After Action Report (AAR) is developed after all drills.

Campus buildings are evacuated twice a year; student housing is evacuated four times a year. These drills are unannounced. In 2016, campus evacuation drills took place in February and June. Emergency response and evacuation procedures are posted throughout campus in emergency response guides and online at www.emergencypreparedness.caltech.edu.
Emergency Management Programs, 2016

In 2016, several specific emergency management educational programs took place to better prepare and train the Caltech campus community. These events are highlighted in the Emergency Management 2016 Annual Report and include:

Emergency Operations Section Training—February 2016
EOC section leaders and members of their teams participated in refresher training. An overview of the Incident Command System and the roles and responsibilities of the functions within the Emergency Operations Center were reviewed, followed by a short tabletop exercise.

Campuswide Earthquake Exercise—February 2016
The goal of the exercise was to train building occupants on evacuation procedures, test emergency processes for accounting for people and conducting initial building assessments, stress test communication processes and technical capabilities, and test the EOC’s process for collecting and organizing incoming information from campus. Over 2,800 participants were recorded in our first-ever all-campus exercise.

Campus Emergency Responders Forum—May 24, 2016
The Emergency Responders Forum was an event that brought together all members of our campus community who have a designated emergency role. This year’s forum consisted of a morning keynote presentation by Joseph Threat, former head of FEMA’s Louisiana Recovery Office and President and CEO of Threat Defense, followed by interactive sessions that allowed participants to learn or practice life-saving skills such as hands-on fire extinguisher use and use of an automated external defibrillator (AED), as well as attending a demonstration on cribbing.

Disaster Recovery Team Drills—June and July 2016
Members of the Disaster Recovery Team participated in one of three drills that required them to practice activation procedures, building assessments, and communications. Reviewing radio protocols, developing new checklists, and streamlining team formation were all among the valuable outcomes.

Building Assessment Training—August 2016
The goal of building assessment training was to educate participants to make a visual assessment of the exterior of a building after an earthquake. While it does not qualify the participants to do an actual structural evaluation of a building, it empowered members of our campus emergency response network to make a preliminary evaluation of their building.

Great California ShakeOut and Personal Preparedness Fair—October 20, 2016
For the ninth consecutive year, members of the Caltech community, along with millions of other Californians, practiced earthquake preparedness by following the “Drop! Cover! Hold On!” procedure during the annual statewide earthquake drill.

A Personal Preparedness Fair was held on San Pasqual Mall following the drill and saw record numbers—over 600—in attendance. Representatives from Caltech’s emergency coordinator network and other key response groups were in attendance, as well as representatives from numerous community vendors and resources, such as the American Red Cross and the City of Pasadena’s Disaster Council.
Caltech will not tolerate violence or threats of violence anywhere on the campus, at JPL, or at any Caltech-sponsored program or event. Persons who become aware of situations that pose an imminent threat to the safety of the community, or one of its members, including someone who may engage in self-harm, are encouraged to contact Caltech Security and seek support for the person or community.

Caltech has in place a Violence Prevention Memoranda as part of its expectations on Caltech behavior and community responsibilities. The campus also conducts community safety and violence prevention trainings that help all members of the community know how to identify, respond, and stay safe in a violent situation. These take place during student orientation, employee orientation, and on campus during the summer months.

It is the policy of the Institute to provide a safe and secure environment for all members of the Institute community, comprising employees including faculty, students, postdoctoral scholars, and third parties, including minors, by maintaining an environment of respect, providing conflict resolution processes, and by establishing preventative measures as well as providing assistance and support to victims. This policy specifically addresses the Institute’s position on the prevention, reduction, and management of violence to provide a safe working and learning environment for its students, employees including faculty, postdoctoral scholars, and third parties engaged in any Institute activity.

Examples of actions or activities that violate the Institute’s Policy include, but are not limited to:

- Physical violence or the threat of physical violence against persons or property
- Any verbal or physical conduct and/or harassing or intimidating behavior that causes a person to reasonably fear for his or her safety, or the safety of others including the safety of friends or family
- Possessing, brandishing, or using a weapon in a manner that is not required by the individual’s position while involved in any Institute activity on or off premises
- Threatening or intimidating communications including notes, voice messages, telephone calls, electronic communications such as emails, texts, and social media, and intra-office or regular mail directed towards a person(s) or facilities
- Intimidation, including stalking a person
- Intentional destruction or threat of destruction to property owned or controlled by the Institute or NASA
- Acts of violence or threats of violence, on or off Institute premises, if the threats or acts affect the legitimate interests of the Institute.
Any individual who experiences or observes a threat, an act of violence, child abuse, or an unauthorized weapon must immediately notify Campus Security or JPL Protective Services Division, or law enforcement.

Campus Security
(626) 395-5000

JPL Protective Services Division
(818) 354-3530

An individual at a non-campus or non-JPL location must immediately notify local law enforcement.

If a community member becomes aware of behavior that might violate this Policy, that person must immediately notify one of the following managers or offices.

Employee’s Supervisor/Management

Campus Human Resources – Employee Relations | (626) 395-8039
Dean of Students | (626) 395-6351
Dean of Graduate Studies | (626) 395-6346
Provost Office | (626) 395-6320
Title IX Coordinator | (626) 395-3132
Campus Security | (626) 395-5000
Caltech Ethics Help Line | (626) 395-8787
JPL Human Resources | (818) 354-7506
JPL Protective Services Division
(818) 354-3530
JPL Workplace Violence Hotline
(818) 393-2851
JPL Ethics Help Line | (818) 354-9999
The unlawful use, manufacture, distribution, cultivation, dispensation, possession, sale, or purchase of or offer to sell or purchase controlled substances* or alcohol on the Caltech campus or its offsite locations, including the Jet Propulsion Laboratory (“JPL”), or as any part of its activities, is prohibited. Controlled substances include, but are not limited to, marijuana, heroin, cocaine, LSD, and amphetamines. Despite recent changes to California law, marijuana still is a controlled substance under federal law, and therefore, the use, manufacture, distribution, cultivation, dispensation, possession, sale, purchase of or offer to sell or purchase marijuana on the Caltech campus or its offsite locations, including JPL, or as any part of its activities, continues to be prohibited. In addition, every employee is required to remain free from the influence of controlled substances, alcohol, or any substance that may impair the employee’s ability to perform their job duties safely or productively, or that may otherwise impair their senses, coordination, or judgment while on duty. Any employee reporting to work (or otherwise at work) under the influence of, or having present in their body, any prescribed drug, alcohol, or other substances or medication that may adversely affect the employee’s ability to work in a safe, productive, or efficient manner, must advise their supervisor. Caltech may require an employee to submit to drug and alcohol testing consistent with Institute policy and applicable federal and state law.

As a condition of continued admission, every student is required to comply with this policy. As a condition of employment, all Caltech employees (this includes faculty, staff, postdoctoral scholars, and student employees), regardless of their location, are required to comply with this policy. A Caltech employee who violates this policy will be subject to disciplinary action up to and including termination of employment. A violation of this policy is likely to result in termination, even for a first offense. Similarly, all students, not just student employees, should understand that disciplinary action including involuntary leave or expulsion from Caltech may be invoked for violation of this policy and that intoxication is never an excuse for misconduct. Legally, institutions of higher education may contact parents when their adult child violates a school’s alcohol or drug policy. If a student’s behavior with respect to alcohol and drugs presents a danger to themselves or others, Caltech may inform the parents.

A faculty, staff, postdoctoral scholar, or student who is convicted (including a plea of nolo contendere [no contest]) of a criminal drug statute violation occurring in the workplace or on Caltech property must notify Caltech in writing within five (5) calendar days after the conviction. Campus employees should inform the Executive Director of Human Resources and students should inform their dean. JPL employees should inform the People Services Section Manager in Human Resources.

Persons who are not employees of Caltech, but who perform work at Caltech for its benefit (such as contractors and their employees, temporary employees provided by agencies, visitors engaged in joint projects at Caltech, etc.), are required to comply with this policy. Violation of this policy is likely to result in being barred from the workplace even for a first offense.
Health Risks

The use of any mind-or mood-altering substance, including alcohol, can lead to psychological dependence, which is defined as a need or craving for the substance and feelings of restlessness, tension, or anxiety when the substance is not used. In addition, with many substances, use can lead to physical tolerance, characterized by the need for increasing amounts of the substance to achieve the same effect and/or physical dependence, characterized by the onset of unpleasant or painful physiological symptoms when the substance is no longer being used. As tolerance and psychological or physical dependence develop, judgment becomes impaired and the individual often does not realize they are losing control over the use of the substance and that they need help.

It is impossible to predict accurately how an individual will react to a specific drug or to alcohol because effects vary depending on the person, environmental variables, the dosage and potency of the substance, the method of taking the substance, the chronicity of use, and whether the substance is taken in conjunction with other substances. Illegal drugs have particularly unpredictable effects due to variability in dosage and purity. Further, the overall potency of street drugs has increased dramatically over the past two decades, making users increasingly susceptible to negative effects.

Alcohol acts as a depressant to the central nervous system and can cause serious short- and long-term damage. Short-term effects include nausea, vomiting, and ulcers; more chronic abuse can lead to brain, liver, kidney, and heart damage, and even to eventual death. Ingesting a large amount of alcohol at one time can lead to alcohol poisoning, coma, and death. Drugs such as LSD, amphetamines, marijuana, and alcohol alter emotion, cognition, perception, physiology, and behavior in a variety of ways. Health risks include but are not limited to depression, apathy, hallucinations, paranoia, and impaired judgment, and all substances have an adverse effect on pregnancy and the fetus. When two or more substances are combined, the effect is often stronger than their additive sum.

Local, State, and Federal Legal Sanctions

Local, state, and federal laws established severe penalties for violations of drug and alcohol statutes. These sanctions, upon conviction, may range from a fine to life imprisonment. In the case of possession and distribution of illegal drugs, these sanctions could include the seizure and summary forfeiture of property, including vehicles. It is especially important to know that federal laws have established penalties for illegally distributing drugs to include life imprisonment and fines in excess of $10,000,000. Some examples of local or state laws are as follows.

- Unlawful possession of a narcotic drug is punishable by imprisonment in the state prison.
- The purchase, possession, or consumption of any alcoholic beverages (including beer and wine) by any person under the age of 21 is prohibited.
- It is illegal to provide alcohol to a person under the age of 21.
- Serving alcohol to an intoxicated person is prohibited.
- Selling any alcoholic beverages, except under the authority of a California Alcoholic Beverage Control License, is prohibited.
- It is a felony to induce another person to take various drugs and “intoxicating agents” with the intent of enabling oneself or the drugged person to commit a felony. The person who induced the other may be regarded as a principal in any crime committed.
- Any person found in a public place to be under the influence of an intoxicating liquor or drug and unable to care for their own safety, or who is interfering with the use of a public way, is guilty of disorderly conduct, which is a misdemeanor.

In addition, pursuant to federal law, a student’s eligibility for federal financial aid may be suspended if the student is convicted, under federal or state law, of any offense involving the possession or sale of illegal drugs.
Resources for Staff, Faculty, Postdoctoral Scholars, and Students

Caltech recognizes drug and alcohol abuse and dependency as treatable conditions and offers faculty, staff, postdoctoral scholars, and students support programs for individuals with substance use problems. Faculty, staff, and postdoctoral scholars are encouraged to seek assistance for drug- and alcohol-related problems through the Caltech Staff and Faculty Consultation Center (SFCC) at campus and the Employee Assistance Program (EAP) at JPL. Individuals can contact the SFCC by calling (626) 395-8360, and the EAP by calling (800) 367-7474. Students are encouraged to seek assistance from the Student Counseling Center (SCC) at (626) 395-8331. In addition, faculty, staff, postdoctoral scholars, and students can seek confidential referral information through the Center for Diversity at (626) 395-3221.

The staff of the SFCC, the EAP and the SCC will help employees and students to identify appropriate treatment resources and will refer them to counseling, treatment, or rehabilitation programs, as appropriate. Health insurance plans provide varying amounts of coverage for substance-abuse programs to address substance abuse and rehabilitation. Individuals may contact their health providers or Caltech Human Resources Benefits office at campus at (626) 395-6443, or JPL at (818) 393-3191, for plan details. Information obtained regarding a faculty, staff, postdoctoral scholar or student during voluntary participation in services at the SFCC, EAP, SCC, or any related program will be treated as strictly confidential, and no information, including whether or not an individual is receiving services, will be shared with third parties, except by written consent or as required by law.

Drug and Alcohol Awareness Program

Caltech has established and will maintain a drug and alcohol awareness program to educate faculty, staff, postdoctoral scholars, and students about:

1. Caltech’s substance abuse policy;
2. the dangers of drugs and alcohol in a work and academic environment;
3. faculty, staff, postdoctoral scholar, and student assistance programs; and
4. disciplinary action that may be imposed on faculty, staff, postdoctoral scholars, and students for violations of this policy.

Caltech will distribute to all faculty, staff, postdoctoral scholars, and students a copy of this policy on an annual basis.

Supervisor’s Responsibilities

If an employee is suspected of violating this policy, the employee’s supervisor should consult with the Director of Employee and Organizational Development (EOD) at campus or the Employee Relations Department of the Human Resources Directorate at JPL regarding appropriate actions, which may include an investigation, and discipline up to and including termination of employment. If a supervisor believes an employee’s behavior raises safety concerns for the employee or others, the supervisor must take immediate action, including calling EOD on campus or the Employee Relations Department of the Human Resources Directorate at JPL, to assess and address the situation and to remove the employee from the worksite if necessary.

Caltech Sanctions

Caltech will impose sanctions for violations of this policy. These sanctions will be consistently enforced and penalties will depend on the severity of the offenses. Penalties may include employment termination and student suspension or expulsion from Caltech, and referral to law enforcement for the most serious violations of the law and this policy. Disciplinary action may be invoked entirely apart from any civil or criminal penalties that the faculty, staff, postdoctoral scholars, and students might incur.
**Caltech Student Programs**

Our annual primary prevention program is CampusClarity's “Think About It.” This online educational program surveys incoming students and provides them with information on alcohol and other drug use, sexual misconduct prevention, expectations for policy compliance, and consequences of problem behavior.

Incoming undergraduate students are then surveyed again in the fall after the start of the school year. Trends and concerns are identified and suggestions are made for policy and educational changes, referral processes, and risk-reduction programming. This program has helped Caltech frame conversations with students on their behavior and the potential outcomes of their choices.

Ongoing student programs include informational presentations and student discussions within various residential environments. Informational presentations are utilized to provide evidence-based alcohol and other drug education, as well as to foster conversations about making healthy choices, bystander intervention, and how individual behaviors impact the larger community. Caltech also provides prevention training for the Summer Undergraduate Research Fellowship students, including a workshop on college drinking culture, signs of alcohol poisoning, the effects of alcohol and other drugs on the body, and making healthy drinking decisions.

Discussion-based programs are offered by Student Counseling Services to all graduate and undergraduate communities. Various workshops and lunchtime trainings are offered to the campus community throughout the academic year.

Students may be referred for individual alcohol and other drug consultations, assessment, and treatment by the residential life coordinators, deans’ offices, or other campus partners. Caltech’s alcohol and other drug clinical services and outreach coordinator is Jarrett Ellington and there are [substance abuse resources](#) online.

**Caltech Employee Programs**

For employees, the Staff and Faculty Consultation Center (SFCC) presents drug and alcohol education to new staff and postdocs on a monthly basis. The SFCC also presents programs to academic divisions and employee groups to distribute information on drug/alcohol voluntary self-identification and encourage voluntary Employee Assistance Program (EAP) participation in case of abuse.
Caltech’s Sexual Misconduct Policy makes clear to students and employees that all forms of sexual violence, including sexual assault, dating violence, domestic violence, and stalking, are considered to be serious offenses and are prohibited at Caltech.

Sexual Assault, Dating Violence, Domestic Violence, and Stalking

Caltech’s Sexual Misconduct Policy covers Caltech’s response to reports of sexual assault, dating violence, domestic violence, and stalking. This policy provides complainants with comprehensive information on: reporting of incidents; preservation of evidence; notification to law enforcement, as well as assistance in notifying law enforcement and their rights to decline such notification; rights of complainants to request, and the Institute’s responsibility to assist with orders of protection; confidential and other on-campus and community resources for dealing with issues of sexual misconduct; and comprehensive options and procedures for responding to reports of sexual misconduct.

The Institute is committed to protecting complainants of sexual misconduct including sexual assault, dating violence, domestic violence, and stalking. Accommodations and protective or interim measures that may be taken include “no contact orders” instituted by written notification to both parties and/or changes to housing, financial aid, transportation, and academic accommodations. The Title IX office, together with Security, will assist complainants with restraining orders and assistance from law enforcement. State jurisdictional information about restraining orders is available in Appendix B. Accommodations and protective measures are available to a complainant, regardless of whether the complainant chooses to report to Security or law enforcement.

The Institute will protect the privacy of complainants and other parties by not disclosing personally identifying information about them in publicly available records as well as maintaining privacy regarding accommodations or protective measures. Accommodations or protective measures are available if the victim requests them and if they are reasonably available. The Institute also provides written notification to complainants regarding rights and options, counseling, health, mental health, victim advocacy, legal assistance, visa and immigration assistance, student financial aid, and other resources, both within the Institute and the community. The information packet also contains preservation of evidence and on- and off-campus resources. Written information is provided to complainants and is available on the Title IX website for all students and employees. These resources are included in Caltech’s Sexual Misconduct Policy.

The Title IX Coordinator and/or Deputy Title IX Coordinators (for staff, postdocs, faculty, and JPL) will provide written notification to victims regarding options and assistance with academic, living, working, transportation, and protective measures. The Institute provides the complainant with Caltech’s Sexual Misconduct Policy, which explains their rights and options following a report of sexual misconduct. The Institute’s procedures for investigation of formal complaints and other available options in cases of sexual assault, dating violence, domestic violence, and stalking also are addressed in Caltech’s Sexual Misconduct Policy, as well as respondents’ rights, including a respondent’s right to receive notice of the alleged factual basis underlying the complaint and a summary of the evidence supporting the complaint. Respondents may also request interim measures. Further specifics of the procedures for investigating complaints of sexual misconduct are detailed in the Sexual Misconduct Policy.

The Institute has made concerted efforts to reduce the risk of sexual violence—including sexual assault, dating violence, domestic violence, and stalking—on campus by providing extensive training and offering discussion sessions with students, faculty, and employees exploring these concerns. Two key areas of focus include educating students on issues of consent and introducing bystander intervention programs.
These programs help to reduce risk by empowering individuals to act in a beneficial way for themselves and others. The peer-to-peer Title IX Advocate program trains over 100 undergraduate students for support and resource awareness.

Recent undergraduate training programs took place in the student houses to create a shared understanding of consent and bystander intervention for the Caltech community. Title IX training is consistently conducted throughout the campus with students, faculty, and employees, both in person and online.

Both Clery and California jurisdictional definitions of sexual assault, dating violence, domestic violence, and stalking are included in Appendix C.

24-Hour Support Available
The community is given clear and ongoing instruction about whom to contact regarding sexual violence. If someone wants to report a policy violation, or needs support as the result of an experience with sexual misconduct, there are many resources available. These include:

A. the Title IX Coordinator and Security, and/or local law enforcement for reporting options;
B. confidential support from the Student Counseling Center or the Staff and Faculty Consultation Center; and
C. local medical personnel for health response and pregnancy and disease prevention.

Caltech’s Sexual Misconduct Policy outlines the resources available to support a student or employee who has experienced sexual violence.

SART
The campus has a Sexual Assault Response Team (SART), which may be brought together in the aftermath of a report of sexual violence in order to ensure that all resources and support are available for the reporting and responding parties. Resources include notification of academic, living, and other interim measures that are available if requested and determined to be reasonable. SART meets to help make important decisions, changes, and updates, and takes action to ensure that the reporting party has the immediate care necessary and is safe and supported. SART will also advise Security if the team believes a Timely Warning is appropriate.

Resolution of Complaints
The procedures under Caltech’s Sexual Misconduct Policy—which include procedures for domestic violence, dating violence, stalking, and sexual assaults—provide for a prompt, fair, and impartial process from the initial investigation to the final result. The accuser and the accused are provided the same opportunity to have an advisor of choice to support them in the proceedings, including the opportunity to be accompanied by their advisor to any related meeting or proceeding. Both parties are given equal opportunity to present their cases, to suggest others who might be interviewed, and to present other evidence. Comprehensive information on complainants’ and respondents’ rights, responsibilities, and options for support are available in the Caltech Sexual Misconduct Policy, which is included in this report. The Institute will, upon written request, disclose to the alleged victim of a crime of violence or a non-forcible sex offense, the report on the results of any disciplinary proceeding conducted by the Institute against a student who is the alleged perpetrator of such crime or offense. If the alleged victim is deceased as a result of such crime or offense, the next of kin of the victim shall be treated as the alleged victim.

This policy with the Nondiscrimination and Equal Employment Opportunity and Unlawful Harassment Policies are distributed with a support packet to every person who reports an incident of sexual violence or is a respondent.

Bystander Options
Caltech developed a bystander education program for students that includes information to promote safety at events and healthy and safe interactions among students. Bystander intervention training is conducted for all first-year undergraduate and graduate students at the Institute as well as for athletes, leaders, peer educators, and residential life teams. The curriculum for the program involves the four “Ds.” These include empowering a bystander to distract someone in an unsafe situation, delegate the need to intervene to someone who can, because of position or relationship
to the student, delay a student interaction so that you have time to access one of the other methods for preventing a problem, or using direct language to confront someone. In addition, a campus video that includes bystander intervention techniques is sent to all students annually and is shared at trainings and programs.

All trainings emphasize the importance of prevention as a mechanism for addressing sexual misconduct in the community. Helping students appreciate that they can reduce the possibility of sexual violence is key to this effort. The message includes how sexual violence can destroy or end someone’s college experience and that neither of these outcomes is congruent with the values of the community. Programs also offer students information on warning signs. Discussions about alcohol, sexual behaviors when alcohol is present, and how to manage a situation before something bad happens are critical to these programs.

One example of a program at Caltech is bystander education done together with the Santa Monica–UCLA Rape Treatment Center. In this joint training, students are each given red and green cards, while an accompanying video is shown. The students must display the cards to show whether they think the bystander is able to proceed (green) or if something is becoming a problem and the bystander needs to stop the situation from moving forward (red). The intention of the program is to help students practice identifying and acting when they see something wrong at an event. As the students begin to show their red cards, the video is stopped and the students are asked to discuss what they observed when they held up their cards. Students are also asked to discuss what the experience of showing concern in front of peers was like for them. They are reminded that they are practicing what it means to intervene as a bystander in a problematic situation.

Overview of Student Programs

Sexual misconduct awareness and prevention programs, bystander intervention programs, and risk reduction programs are presented to the community each year. Incoming students are trained on Caltech policies and procedures including the definitions of sexual violence, domestic violence, dating violence, stalking, sexual assault, and consent. They are also educated on how to file a Title IX complaint, the confidential and programmatic resources available at Caltech, as well as ongoing prevention and bystander intervention initiatives. These programs all have the goal of risk reduction and support for students.

“Responsible Employees” are identified, along with their roles as reporting resources for students. A Responsible Employee is a Caltech employee who has the authority to redress sexual violence, who has the duty to report incidents of sexual violence or other student misconduct, or who a student or employee could reasonably believe has the authority or duty to do so.

Programs are mandatory for all new students, and make-up sessions are also available to ensure that each person has a clear understanding of the Institute’s expectations. During these presentations, the definitions of each offense are reviewed and sanctions are discussed. Student groups, leaders, athletes, peer educators, residential life personnel, Title IX student advisory board members, and resident associates are all exposed to ongoing education about the issues associated with harassment and violence.

Caltech also provides bystander intervention training in order to encourage students to intervene when there’s a risk of sexual violence against another person. Risk reduction is a key component of all programming at Caltech. This year all incoming students participated in the Title IX orientation program and more than 80 percent of all undergraduates participated in some kind of formal bystander training program.

In addition, each year, both graduate and undergraduate students participate in a Title IX summit and graduate students participate in an assessment that addresses issues of harassment and violence, particularly sexual violence. At this year’s summit, the policies were reviewed and students prepared a plan for programming in order to meet community needs and ensure that their peers are effectively educated and trained.
Overview of Staff and Faculty Programs

Caltech’s Title IX Coordinator works in conjunction with Human Resources and other campus organizations to provide ongoing awareness and prevention programs, bystander intervention programs, and risk reduction programming to current staff and faculty. Human Resources conduct Title IX training and covers all Institute policies to incoming employees and new faculty through orientation. In addition, Caltech requires that all supervisory personnel participate in a two-hour training covering sexual harassment and Title IX, every two years. In 2016 all Caltech supervisors and managers, including faculty, completed the Prevention of Unlawful Harassment and Title IX Trainings. These were offered online and in-person to the community. Responsible Employees are trained to assist students with reporting and resources in cases of sexual violence, sexual harassment, and/or discrimination. Title IX resource cards, which include information on how to talk with someone who wants to make a report, how to follow up, and what information to provide the reporting party, are distributed to all Responsible Employees at training programs to provide reporting, counseling, and practical tips for helping students/employees.

The student, staff, and faculty programs reinforce Caltech’s policy that sexual misconduct in any form, including sexual assault, dating violence, stalking, or domestic violence, will not be tolerated. They provide information on:

- the options for reporting sexual violence, including reporting to Caltech authorities or local law enforcement;
- what constitutes consent;
- safe and positive options that a bystander can take if they witness potential domestic violence, dating violence, sexual assault, or stalking; and
- how to recognize the risks and warning signs of potential violence.

The Title IX teams and Student Affairs provide ongoing programs that heighten the community’s awareness of the need to take action to prevent sexual violence on campus. These programs include presentations focused on sexual assault, dating violence, stalking, and domestic violence.

Sexual Misconduct Awareness Educational Programs

The Title IX office, addressing both Title IX and Clery policies, is a high visibility, highly connected campus resource for students, faculty, and employees. The office develops and implements an annual calendar of formal training and communication messages to be disseminated across all campus communities on a planned and recurrent schedule, with the collaborative involvement of many campus partners. The programs listed below represent ongoing Title IX training and education efforts. Caltech training identifies that the Institute prohibits all forms of sexual misconduct including dating violence, domestic violence, sexual assault and stalking, and provides definitions of these crimes.

Title IX and Clery Training

The Title IX office provides highly visible, annual, and ongoing training for Caltech undergraduate and graduate student groups. Training includes information on Title IX and Clery policies, protocols, responsibilities, bystander education, reporting options, confidential resources, and other on- and off-campus resources for students and employees. Training includes how employees should respond if a crime is reported to them and rights and options available to them if they become a victim of crime. Student groups trained include all first-year students (during orientation), upper-class counselors, the Graduate Honor Council, international students, advisory boards, freshman advisers, student housing facilities, option representatives, Residential Life coordinators, and many student activity groups.

Students—Training the Title IX Undergraduate and Graduate Advisory Boards

The Title IX office provides highly visible ongoing training, leadership development, and community discussion regarding Title IX issues with students. The advisory boards meet two to three times per academic period to provide campus feedback from students and to further Title IX education through peer education. Training includes Title IX and Clery policies, protocols, reporting options, responsibilities, on- and off-campus resources, guidelines for how to help a friend, bystander education, and house training needs.
Students—Title IX Training: Sexual Misconduct Peer Education Program
Peer education training includes policies, definitions, and bystander education, and advice on how to help a friend in need of support related to Title IX issues. Caltech students were awarded grants for the “Burritos not Doritos” and “Caltech Consent Talks” training programs, house-based Title IX and Clery training programs that rewarded for full training participation.

Students—Sex Positive Week Presentation
This week features presenters, including Planned Parenthood, who debunk myths, discuss safer sex practices, provide access to resources and Pleasure Chest, and focus on safer, pleasurable sex; healthy sexuality; and consent/communication in romantic encounters.

Students—Bystander Intervention Training
This training is focused on bystander intervention as a strategy for preventing sexual violence. Strategies addressed include: learning ways to prevent sexual violence, such as naming and stopping situations that could lead to sexual violence before it happens; stepping in during an incident; and speaking out against ideas and behaviors that support sexual violence.

Students—Title IX Policy Review Meeting
All students—undergraduate and graduate—are given the chance to review Caltech’s Title IX policies and offer feedback, express concerns, and suggest ways to make the documents more user-friendly.

Students—Title IX Training and Assessment for Undergraduates
The program discusses the climate on campus and addresses issues of concern, including how to train and educate the community, provide resources for faculty and student recruitment, and reduce barriers to reporting.

Students—Title IX Summit
This program is for all undergraduate student leaders to discuss definitions, protocols, reporting and resource information, bystander education, and how to help a friend. Plans and programs are developed for the following year.

Students—Screening of The Hunting Ground and Discussion
The Hunting Ground is about sexual-assault crimes on college campuses and how the colleges in question handled complaints and discouraged women from reporting rape. The film follows assault survivors on their path to continued education and justice. This program includes a post-film panel discussion.

Students—Title IX Video
The Title IX office has created a Caltech video using student advocates addressing issues of consent, rape culture, bystander intervention, and community responsibility for making Caltech a safer place and a stronger community whose members care for one another.

Students—Alcohol and Consent: “Talk it Out” Grant Presentation
This peer education program addresses topics including consent, definitions of sexual violence, the relationship between alcohol and consent, bystander intervention, and resource information. Members of an undergraduate house are able to count their attendance at this event toward their house’s completion of the “Talk it Out” grant requirements.

Students—FROSH Women Series
This conversation with first year undergraduate women focuses on safer sex practices, consent, healthy relationships, and communication.

Students—Title IX Trainings at Orientation
All first-year students attend a required training on Caltech policies, definitions, protocols, reporting and resource information, possible sanctions, bystander education, and skill development regarding how to help a friend in need.

Students—Online Training
New students review policies, bystander intervention, reporting information, and other resources.

Students—Online Training
Student teaching assistants review policies, resources, and reporting information.
**Students, Faculty, and Staff—Denim Day**
This rape prevention campaign includes the wearing of denim in support of rape prevention, and is organized by the Title IX office in conjunction with the Caltech Center for Diversity.

**Students, Faculty, and Staff—Take Back the Night**
This program includes speakers, a vigil, and a speak-out, in which survivors of sexual assault tell their stories.

**Students, Faculty, and Staff—Personal Preparedness Fair**
This information and vendor fair provides key resources regarding personal preparedness to the campus community.

**Students, Faculty, and Staff—Domestic Violence Awareness Month**
This campaign includes various events focused on breaking the cycle of interpersonal violence, including a Day of Action, a Peace over Violence presentation, and a candlelight vigil/speak-out.

**Students, Faculty, Postdocs and Staff—Safe Zone Trainings**
This training is for the community on issues of gender, sexuality and inclusiveness.

**Staff and Faculty—Title IX Investigator Training**
Title IX Investigators are trained on policies, fact finding, trauma-centered interviews, and report writing. Training covers issues related to dating violence, domestic violence, sexual assault and stalking, as well as relevant evidence and how it should be used during proceeding, proper techniques for questioning witnesses, basic procedural rules for conducting a proceeding, and avoiding actual and perceived conflicts of interest. The goal is to protect the safety of the victim and promote responsibility.

**Staff—Title IX Responsible Employee Training**
The Title IX office provides annual and ongoing training for all Responsible Employees, particularly focusing on Title IX policies and procedures, protocols, reporting options, confidential resources, and other on- and off-campus resources for students and employees.

**Staff—Title IX Campus Security Authority (CSA) Training**
The Title IX office provides annual and ongoing training for all Campus Security Authorities in conjunction with the Office of General Counsel, particularly focusing on Clery policies and procedures, protocols, reporting options, confidential resources, and other on- and off-campus resources for students.

**Staff—Title IX and Clery Training for Athletic Staff**
This training is for Caltech coaches and athletic department employees and covers policies, Responsible Employee protocols, Clery and Campus Security Authority (CSA) responsibilities, bystander education, and team training needs.
Staff—Title IX and Clery Training for Employee Groups
The Title IX office provides highly visible, annual, and ongoing training for Caltech employee groups. Training includes Title IX and Clery policies, protocols, responsibilities, bystander education, reporting options, confidential resources, and other on- and off-campus resources for students and employees. Employee groups trained include Security, Residential Life, division administrators, option administrators, Athenaeum employees, and other operational groups.

Staff—New Employee Orientation
This monthly orientation for new employees includes information about how to report and seek support regarding Title IX issues. Responsible Employee requirements are also discussed.

Staff—Clery Committee Meetings
This is a training and meeting to promote collaboration of the wide-ranging Clery team across campus departments. The committee addresses current concerns, programming, and policy development.

Staff—Clery Center Trainings
Security, the Title IX office, and others participate in annual Clery Center training workshops to understand changes or modifications to the policies and to improve Clery compliance. Caltech continued its Collaborative Membership of the Clery Center, which started in 2015.

Staff—Title IX Regional Meeting/Training for Title IX Team at Caltech
This meeting for regional Title IX coordinators and the Caltech Title IX team is focused on Title IX due process updates in investigations and best practices.

Staff—Mandated Reporter Training
These trainings are for personnel who work with minors at the Institute.

Staff—Clery Training and Clery Retreat for Clery Committee
The annual Clery retreat is a key aspect of the planning and coordination of Clery-related issues at Caltech. It also provides the Clery Committee an opportunity to review policies, develop projects, and identify subcommittee assignments for the year. Outcomes of the 2016 meeting included the Clery website, new co-chairs, policy updates, and a training schedule for 2017.

Staff—Title IX Training at All-Hands Security Meeting
This program for all Security personnel reviews policies, definitions, protocols, reporting and resource information, and how to talk with a victim/survivor.

Staff—Training with Title IX, Security, and Pasadena Police Department
During this annual meeting, Caltech Security, PPD and Title IX staff are cross-trained on protocols associated with new legislation on reporting.

Staff at Jet Propulsion Laboratory, Pasadena, CA—Prevention of Unlawful Harassment and Sexual Violence
A training for JPL employees regarding the Unlawful Harassment Policy and the Sexual Violence Policy to identify individual responsibilities and available resources.

Prospective Parents—Title IX Training for Parents of Prospective Undergraduate Students
This training focuses on educating parents regarding the reporting and resource information on campus and how to prevent and respond to all forms of harassment and violence.
I. Policy
All members of the Caltech community have the right to be treated, and the responsibility to treat others, with dignity and respect. These principles are fundamental to the educational and intellectual mission of Caltech. It is the policy of Caltech to provide a work and academic environment free of unlawful discrimination, including sexual misconduct.

Caltech will not tolerate sexual misconduct, and is committed to educating the community in ways to prevent its occurrence. Sexual misconduct is considered to be a serious offense. This policy prohibits all forms of sexual misconduct, including sex or gender-based discrimination, sexual or gender-based harassment, and sexual violence, including sexual assault, non-consensual sexual contact, dating violence, domestic violence, sexual exploitation, and stalking. Caltech also prohibits retaliation against an individual who reports, submits a complaint, or who otherwise participates in good faith in any matter related to this policy.

Caltech will take prompt and equitable action upon receiving a report of sexual misconduct to determine what occurred and take reasonable steps to stop and remedy the effects of the sexual misconduct, and prevent recurrence of the behavior. Caltech provides all parties with appropriate due process and will reach reasonable conclusions based on the evidence collected. Caltech will take appropriate action, including disciplinary measures, when warranted, up to and including termination of employment or permanent separation from the Institute.

II. Scope
This policy applies to all students, faculty, supervisory and nonsupervisory staff, postdoctoral scholars, volunteers, interns, vendors, independent contractors, persons performing services under contract with the Institute, visitors, and any other individuals regularly or temporarily employed, studying, living, visiting, or otherwise participating in Caltech’s educational programs or activities.

This policy applies to conduct occurring on Institute-controlled property, at Institute-sponsored events, in Institute programs or activities, and off-campus where the conduct has continuing adverse effects on any member of the Caltech community in any Caltech program or activity.

Members of the Caltech community are encouraged to immediately report sexual misconduct to Caltech as well as to local law enforcement, regardless of where the incident occurred, or who committed it. Reports to Caltech and law enforcement may be pursued simultaneously. An individual who has experienced sexual violence is encouraged to immediately seek assistance from a medical provider.

Even if Caltech does not have jurisdiction over the person accused of sexual misconduct, Caltech will still take prompt action to provide for the safety and well-being of the individual reporting and the campus community, including taking reasonable steps to stop and remedy the effects of the sexual misconduct and to prevent recurrence of the behavior.

When used in this policy and accompanying procedures, complainant refers to the individual who allegedly is the subject of the sexual misconduct and respondent refers to the individual who allegedly committed sexual misconduct.
III. Prohibited Conduct

Sexual misconduct is a form of sex discrimination and violates Title VII of the Civil Rights Act of 1964, as amended, Title IX of the Education Code, and California law. All forms of sexual misconduct are prohibited under this policy, including sex or gender-based discrimination, sexual or gender-based harassment, and sexual violence, including sexual assault, non-consensual sexual contact, dating violence, domestic violence, sexual exploitation and stalking. All individuals are protected against sexual misconduct regardless of gender, sexual orientation, gender identity or gender expression. Sexual misconduct can be committed by individuals of any gender, regardless of an individual’s sexual orientation, gender identity, gender expression, or sexual orientation, and can occur between individuals of the same gender or different genders, strangers or acquaintances, as well as people involved in intimate or sexual relationships.

Attempts or threats to commit prohibited conduct are equally covered by this policy.

A. Sex or Gender-Based Discrimination refers to disparate treatment based on sex, sexual orientation, gender identity, or gender expression.

B. Sexual or Gender-Based Harassment

Sexual or Gender-Based Harassment by peers, coworkers, managers, or third parties such as visitors, vendors, or contractors is a form of prohibited sex discrimination where the objectionable conduct creates a hostile educational or work environment. The determination of whether an environment is hostile is based on the totality of the circumstances, including but not limited to: (1) the frequency of the conduct; (2) the nature and severity of the conduct; (3) whether the conduct was physically threatening; (4) the effect of the conduct on the complainant’s mental or emotional state, with consideration of whether the conduct unreasonably interfered with the complainant’s educational or work performance or educational programs or activities; (5) whether the conduct was directed at more than one person; (6) whether the conduct arose in the context of other discriminatory conduct; and (7) whether the conduct implicates concerns related to academic freedom or protected speech.

A single isolated incident may create a hostile environment if the incident is sufficiently severe, particularly if the conduct is physical. For example, a single incident of unwanted physical conduct of a sexual nature, like grabbing an intimate body part, may be sufficiently severe to constitute a hostile environment. In contrast, isolated or sporadic comments of a sexual nature typically will not be sufficient to constitute a hostile environment. Behavior of a harassing nature that does not rise to the level of unlawful harassment but is nevertheless determined to be inappropriate may subject the offender to disciplinary action.

Gender-Based Harassment is harassment based on an individual’s actual or perceived sex, including harassing or bullying conduct based on the individual’s gender expression, gender identity, transgender status, gender transition, or nonconformity with sex stereotypes.

Sexual Harassment is pervasive and/or severe unwelcome sexual advances, requests for sexual favors, and other conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of an individual’s employment or education; or
- Submission to or rejection of such conduct by an individual is used as the basis for decisions affecting that individual’s employment or academic terms or status; or
- Such conduct has the purpose or effect of unreasonably interfering with an individual’s performance or creating an intimidating, hostile, or offensive environment.
IV. The following are examples of conduct that, depending on the nature, frequency and severity, may constitute sexual or gender-based harassment:

- Sending unwanted sexually-oriented jokes to a student or work group email list.
- Displaying explicit sexual pictures in common areas of Institute housing or on a work computer station where others can view it.
- Unauthorized sharing or posting of sexually explicit photos of another, including a current or former partner.
- Making or using derogatory comments, epithets, slurs, or jokes of a gender-based or sexual nature.
- Surreptitiously taking pictures or videos of individuals, especially of private or intimate areas of their body.
- Observing, recording, viewing, distributing, or allowing another to observe, record, view, or distribute, intimate or sexual images of another individual without that individual’s consent.
- Ostracizing individuals from group activities because of their sex, gender or gender identity, gender expression, or because they objected to harassing behavior.
- Making unwelcome graphic comments about an individual’s body, using sexually degrading words to describe an individual.
- Engaging in unwanted suggestive or obscene communications.
- Engaging in unwelcome touching of a sexual nature.
- Making unwanted sexual advances.
- Promising a benefit to someone in exchange for engaging in sexual activity.
- Exposing one’s genitals to another without consent.

Even when relationships are consensual, care must be taken to eliminate the potential for harassment or other conflicts. It is not acceptable to treat other similarly-situated individuals, who are not in the consensual relationship, less favorably. Caltech practice, as well as more general ethical principles, prohibits individuals from participating in evaluating the work or academic performance of those with whom they have amorous and/or sexual relationships, or from making hiring, salary, or similar decisions regarding those individuals. Sexual or romantic relationships between an undergraduate student and a faculty or staff member are not permitted.

Upon learning about a relationship that violates this policy, the supervisor, dean, or division chair has the authority and responsibility to review and remedy any direct administrative or academic relationship between the involved individuals.

When a consensual personal relationship arises and a power differential exists, consent may not be considered a defense to a claim of sexual harassment. The individual in the relationship with greater power will be held responsible.
C. Sexual Violence

Sexual violence is any sexual conduct that occurs by force or threat of force or without consent, including where the person is incapacitated.

Consent

Consent is a crucial component of the Caltech policy. Consent is the affirmative, conscious, and voluntary agreement to engage in sexual activity.

- It is the responsibility of each person involved in the sexual activity to ensure that they have the affirmative consent of the other or others to engage in the sexual activity.
- Lack of protest or resistance does not mean consent, nor does silence mean consent.
- Affirmative consent must be ongoing through a sexual activity and can be revoked at any time.
- The existence of a dating relationship between the persons involved, or the fact of past sexual relationship between them, should never by itself be assumed to be an indicator of consent.

It is not a valid excuse that the respondent believed that the complainant affirmatively consented to the sexual activity if the respondent knew or reasonably should have known that the complainant was unable to consent to the sexual activity under any of the following circumstances:

- The complainant was asleep or unconscious
- The complainant was incapacitated due to the influence of drugs, alcohol, or medication, so that the complainant could not understand the fact, nature, or extent of the sexual activity
- The complainant was unable to communicate due to a mental or physical condition.

It is not a valid excuse to alleged lack of affirmative consent that the respondent believed that the complainant consented to the sexual activity under either of the following circumstances:

- The respondent’s belief arose from the intoxication or recklessness of the respondent.
- The respondent did not take reasonable steps, in the circumstances known to the respondent at the time, to ascertain whether the complainant affirmatively consented.

Non-Consensual Sexual Contact is defined as intentional contact with the intimate body parts of another (whether directly or through clothing), or disrobing or exposure of another by force or threat of force, without consent, including where the person is incapacitated. Intimate body part means breast, genitals, groin, anus, or buttocks.

Sexual assault is defined as having or attempting to have sexual intercourse with another individual by force or threat of force, without consent, including where the person is incapacitated. Sexual intercourse includes the penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person.

Sexual exploitation occurs when an individual takes non-consensual or abusive sexual advantage of another for their own or another’s benefit or advantage.

Dating violence is violence committed by a person who is or has been in a social relationship of a romantic or intimate nature with the victim.

Domestic violence is violence committed by a current or former spouse or intimate partner of the victim, by a person with whom the victim shares a child, by a person who is or has cohabitated with the victim, as a spouse or intimate partner, by person similarly situated to a spouse under the law of the state where the violence occurred, and by any other person against an adult or youth victim who is protected from that person’s acts under the laws of the state where the violence occurred.

Stalking is a course of conduct directed at an individual that would cause a reasonable person to fear for his or safety or the safety of others, or suffer substantial emotional distress. Course of conduct means two or more acts, including, but not limited to, acts in which the stalker directly, indirectly, or through third parties, by any action, method, device or means, follows, monitors, observes, surveils, threatens, or communicates to or about a person or interferes with the person’s property. Reasonable person means a reasonable person under similar circumstances and with similar identities to the victim. Stalking that is sex or gender-based should be reported and will
be handled pursuant to this policy and applicable procedures. Stalking that is not sex or gender-based is covered by the Violence Prevention Policy and should be reported to Security at campus or the Protective Services Division at JPL and will be handled pursuant to that policy.

V. Retaliation
Retaliation against any member of the Caltech community for making a good-faith report of sexual violence, or for participating in an investigation, proceeding, or hearing conducted by Caltech or a state or federal agency, is strictly prohibited. Overt or covert acts of retaliation, reprisal, interference, discrimination, intimidation, or harassment against an individual or group for exercising their rights under Title IX or other federal and state laws violates this policy and is unlawful. Caltech will take steps to prevent retaliation and will take prompt and appropriate corrective action to stop, and remedy its effects, if retaliation occurs. Individuals who violate this policy may be subject to disciplinary action up to and including termination of employment or permanent separation from the Institute.

VI. Privacy
Caltech will maintain the privacy of all individuals involved in a report of sexual misconduct to the extent possible. All Caltech employees who are involved in the Institute’s response, including the Title IX Coordinator, Deputy Coordinators, and investigators, receive specific instruction about respecting and safeguarding private information. Throughout the process, every effort is made to protect the privacy interests of all individuals involved, in a manner consistent with the need for a thorough review of the matter.

Privacy generally means that information related to a report of sexual misconduct will only be shared with those individuals who have a “need to know.” These individuals will be discreet and will respect the privacy of all individuals involved.

VII. Preservation of Evidence
Because sexual violence may involve physical trauma and is a crime, individuals who have experienced sexual violence are urged to seek medical treatment as soon as possible. They are strongly encouraged to preserve all physical and digital evidence of the violence. This may be needed to prove criminal sexual violence, or for obtaining a protective order. Individuals who have experienced sexual violence should not shower, bathe, douche, eat, drink, wash their hands, or brush their teeth until after they have had a medical examination. They should save all the clothing they were wearing at the time of the violence. Each item of clothing should be placed in a separate paper bag, not a plastic bag. They should not clean or disturb anything in the area where the sexual violence occurred. Digital evidence relating to the incident, such as texts, emails, and social media posts, should be also be preserved.
VIII. Resources

Caltech also encourages individuals who have experienced sexual misconduct to seek immediate psychological and support and advocacy services provided by campus or community services. Campus Security and the Protective Services Division at JPL will contact on-campus and on-lab resources, provide information regarding off-campus resources for support and advocacy, medical treatment, and forensic evidence collection, and will arrange for transportation to access off-campus resources.

24 Hours a Day/7 Days a Week

Campus Security (reporting and/or to reach confidential or other resources)
(626) 395-5000

Security can assist with safety situations, contact law enforcement, provide transportation vouchers to off-campus resources, and contact mental health resources. The caller must simply provide a phone number where the confidential or other resource can reach the caller. Names and other information regarding the incident need not be provided to Campus Security.

JPL Protective Services Division (reporting and/or to reach confidential or other resources)
(818) 393-3333 | (818) 354-3333

The JPL Protective Services Division can assist with safety situations, contact law enforcement, arrange for transportation to access off-campus resources, and contact the caller’s choice of a confidential or other resource. The caller must simply provide a phone number where the confidential or other resource can reach the caller. Names and other information regarding the incident need not be provided to the Protective Services Division.

A. On-Campus Confidential Resources

Caltech offers members of the Caltech community the choice of seeking confidential counseling. These confidential counseling services are intended for the personal benefit of the individual and offer a setting where various courses of action can be explored. Except as otherwise provided below, confidential resources will not share information without the express permission of the individual. Speaking to a confidential resource is not a report to Caltech, and no investigation will be triggered.

CALTECH MENTAL-HEALTH PROFESSIONALS

Caltech’s mental-health professionals in Student Counseling Services and the Staff and Faculty Consultation Center will not report any information about an incident to Caltech, including to the Title IX Coordinator unless requested by their client. These professionals are prohibited from breaking confidentiality unless there is an imminent threat of harm to self or others or as otherwise permitted by law. When a report involves suspected abuse of a child under the age of 18, these confidential resources are required by state law to notify child protective services and/or local law enforcement. They can be contacted 24 hours a day/7 days a week.

For Students:
(626) 395-8331
Student Counseling Services

(626) 395-8331
after hours, press #2 to be connected to on-call service

For faculty, campus staff, and postdoctoral scholars:
(626) 395-8360
Staff and Faculty Consultation Center

(626) 395-5000
after hours via Security

For JPL employees:
(800) 367-7474
Empathy/Life Matters – identify yourself as a JPL employee

mylifematters.com (Password: JPL)
Designated confidential resources (identified below) in the Caltech Center for Diversity can generally talk to a complainant or respondent without revealing any personally identifying information about an incident to Caltech. While maintaining an individual’s confidentiality, the Caltech Center for Diversity will report the nature, date, time, and general location of an incident to Security for purposes of Clery reporting. This information will be included in aggregate statistics (with no identifying information) for inclusion in Caltech’s Annual Security and Fire Safety Report, if required.

Taso Dimitriadis  |  (626) 395-8108
Erin-Kate Escobar  |  (626) 395-3221

Caltech’s Student Health Center is committed to providing compassionate and quality medical help to a student who has experienced sexual violence. Caltech’s medical professionals in the Student Health Center will not report any information about an incident to Caltech, including the Title IX Coordinator, unless requested by their client. Note that medical providers (but not psychological counselors) are required to notify law enforcement when they receive a report of assaultive or abusive conduct, including sexual assault.

Student Health Services
1239 Arden Rd  |  Pasadena, CA 91106
(626) 395-6393

Peace Over Violence (24 hour emergency services offer victims of sexual assault, domestic violence and stalking emotional support, information, compassion, accompaniment, referral and advocacy services.)
892 N. Fair Oaks Ave., Suite D
Pasadena, CA 91103
(626) 584-6191  
(626) 793-3385 (24 hours)

San Gabriel Valley Medical Center (24 hour medical care, emotional support, and comprehensive exams including forensic evidence collection (the “rape kit”). SART Hotline provides immediate connection to on-call nurse for sexual assault services.) Note that medical providers (but not psychological counselors) are required to notify law enforcement when they receive a report of assaultive or abusive conduct, including sexual assault.
438 West Las Tunas Drive
San Gabriel, CA 91776
(626) 289-5454

Sexual Assault Response Team (SART) Hotline:
(877) 209-3049 (24 hours)

The Rape Treatment Center at Santa Monica-UCLA Medical Center (24 hour emergency medical treatment for victims of sexual assault, including forensic services (the “rape kit”).) Note that medical providers (but not psychological counselors) are required to notify law enforcement when they receive a report of assaultive or abusive conduct, including sexual assault.
(310) 319-4000  |  www.911rape.org

Huntington Memorial Hospital (24 hour emergency and trauma services. Social workers available to provide counseling as needed.)
100 W. California Blvd.  |  Pasadena, CA 91105  
(626) 421-7733
IX. Reporting to Caltech

Anyone who witnesses, experiences, or is otherwise aware of conduct that the individual believes to be in violation of this policy, including retaliation, is urged to contact Caltech immediately. Individuals are encouraged to report to the Title IX Coordinator or a Deputy Title IX Coordinator.

Title IX Coordinators and Deputy Coordinators

The Title IX Coordinator is responsible for coordinating Caltech’s compliance with Title IX and for Caltech’s overall response to conduct falling under Title IX. The Title IX Coordinator oversees all Title IX complaints, monitors outcomes, identifies, and addresses any patterns of systemic problems that arise, and assesses effects on the campus climate. The Title IX Coordinator also oversees the implementation and application of Caltech’s Title IX related policies within the scope of Title IX and coordinates Caltech’s response to all complaints of sexual violence under Title IX to ensure consistent treatment of parties involved, and prompt and equitable resolution of complaints. The Title IX Coordinator is supported by three Deputy Coordinators all of whom can answer questions regarding Title IX.

Title IX Coordinator
FELICIA HUNT
(faculty, staff, postdoctoral scholars, and students)
Office: 205 Center for Student Services
(626) 395-3132
TitleIXCoordinator@caltech.edu

Deputy Title IX Coordinator for Faculty
MELANY HUNT
Office: 265 Gates-Thomas
(626) 395-4231
hunt@caltech.edu

Deputy Title IX Coordinator for staff and postdoctoral scholars
OFELIA VELAZQUEZ-PEREZ
Office: 206 Central Engineering Services
(626) 395-3819
Ofelia.Velazquez-Perez@caltech.edu

Deputy Title IX Coordinator for JPL
JACKIE CLENNAN-PRICE
Office: Human Resources T1720-149
(818) 354-2983
Jackie.A.Cleannanprice@jpl.nasa.gov
If an individual discloses prohibited conduct to any Responsible Employee, the Responsible Employee must report to the Title IX Coordinator all relevant details about the alleged sexual misconduct. At campus, the following are Responsible Employees:

- Title IX Deputies
- Staff members with a supervisory or managerial role, who do not have legally protected confidentiality
- Security Officers
- Residential Life Coordinators
- Resident Associates
- Coaches
- Employee Relations consultants
- Faculty members who supervise a research laboratory or group, or who have administrative responsibilities.

At JPL, the following are Responsible Employees:

- Title IX Deputy for JPL
- Supervisors and managers
- Employee Relations Representatives
- Human Resources Business Partners
- Education Office staff

Caltech is committed to protecting the privacy of all individuals involved in a report of sexual misconduct. All employees involved in the response to a report of sexual misconduct understand the importance of properly safeguarding private information. Caltech will make every effort to protect individuals’ privacy interests consistent with Caltech’s obligation to investigate reports made to Caltech.

If a member of the Caltech community would like support and guidance in filing a complaint, they may contact the Title IX Coordinator or a Deputy Coordinator, one of the Deans or Associate Deans, the Director of Employee & Organization Development in Human Resources, or the JPL Section Manager of Talent Management or Human Resources Business Partners at JPL. They may also contact the EEO Coordinators identified in the Nondiscrimination and Equal Employment Opportunity Policy.

Caltech provides the following resources for anonymous reporting:

**Campus Hotline**
(626) 395-8787 or (888) 395-8787

**JPL Ethics Hotline**
(818) 354-9999

**JPL Protective Services Division’s Workplace Violence Hotline**
(818) 393-2851

For either Campus or JPL by submitting a compliance Hotline Contact Form.

Contacting one of these anonymous reporting resources may trigger an investigation, and if the reporting party shares personally identifying information, they will be notified if an investigation occurs.
Individuals who have experienced sexual violence are encouraged to notify local law enforcement. Caltech will provide assistance in notifying law enforcement if the individual so chooses. An individual who has experienced sexual violence also has the right to decline to notify law enforcement or Caltech.

Caltech has an obligation under California law to report incidents of sexual violence to law enforcement; however, Caltech will not report to law enforcement identifying information about the complainant without the complainant’s consent after being notified of their right to have personally identifying information withheld. If the complainant does not consent to be identified to law enforcement, personally identifying information about the respondent also will not be provided.

**Passadena Police Department**

207 N. Garfield Ave.  |  Pasadena, CA 91101

Call 911 for Emergency Response

Non-Emergency Response:
(626) 744-4241

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**NOTIFICATION OF LAW ENFORCEMENT**

X. Requests for Confidentiality or that Complaint Not Be Pursued

In matters falling under Title IX, if a member of the Caltech community discloses an incident to the Title IX Coordinator, a Deputy Title IX Coordinator or a Responsible Employee, but requests that their name not be used, that the Institute not pursue an investigation, or that no disciplinary action be taken, Caltech must weigh the request against its obligation to provide a safe, non-discriminatory environment.

The Title IX Coordinator or designee will weigh the request for confidentiality against factors including, but not limited to, the seriousness of the conduct, circumstances that suggest there is a significant risk that the accused will commit further acts of sexual misconduct, whether there was a weapon involved, and the age of a student victim.

The Title IX Coordinator or designee will determine the appropriate manner of resolution. The Title IX Coordinator or designee will attempt to address the conduct consistent with the complainant’s request not to use their name or their request not to pursue an investigation or that no disciplinary action be taken, while also protecting the health and safety of the complainant and the Institute community.

Caltech’s ability to fully investigate and respond may be limited if the complainant requests anonymity or declines to participate in an investigation. Caltech will, however, take other action to limit the effects of the prohibited conduct and prevent its recurrence.

In those instances where the Title IX Coordinator or designee determines that Caltech must proceed with an investigation despite the request of the complainant, the Title IX Coordinator or designee will inform the complainant of Caltech’s intention to initiate an investigation. The complainant is not required to participate in the investigation.

In all cases, the final decision on whether, how, and to what extent Caltech will conduct an investigation, and whether other measures will be taken in connection with the report of prohibited conduct, rests solely with the Title IX Coordinator or their designee.
XI. Reports Involving Minors
Every member of the Caltech community who knows of, or reasonably suspects, child abuse, including sexual misconduct involving a minor, has a personal responsibility to report to Caltech Security or the JPL Protective Services Division immediately. Caltech employees who are mandated reporters have additional reporting obligations, including reporting immediately to LA County Child Protection and/or the local police department. See the Violence Prevention policy for more information.

XII. False Reports
Caltech will not tolerate intentional false reporting of incidents. A good faith complaint that results in a finding of “no violation” is not considered a false report. However, when a complainant or third party is found to have fabricated allegations or to have given false information with malicious intent or in bad faith, they may be subject to disciplinary action.

XIII. Emergency Notifications and Timely Warnings
In the event of a dangerous situation on campus that involves an immediate threat to the health or safety of students or employees, Caltech will issue an Emergency Notification consistent with its Emergency Notification procedures. In the event Caltech believes that there is a serious or continuing threat to the campus community, Caltech will issue a Timely Warning consistent with its Timely Warning procedures. Emergency Notifications and Timely Warnings do not disclose the name of the victim.

XIV. Clery Reporting
The Clery Act requires Caltech to issue an Annual Security and Fire Safety Report, which includes crime statistics for sexual assault (rape, fondling, incest, and statutory rape), domestic violence, dating violence, and stalking. Campus Security gathers these crime statistics from security reports, Pasadena Police Department information, JPL, and reports by Campus Security Authorities. Crime statistics do not disclose any identifying information about a complainant, respondent, witnesses, or others. For more information and statistics for the past three years, see the current Annual Security and Fire Safety Report.

XV. Contacting the Office of Civil Rights
Employees, students, and others participating in Caltech’s educational programs or activities may direct questions regarding Title IX or file complaints with the U.S. Department of Education Office for Civil Rights, (415) 486-5555, ocr.sanfrancisco@ed.gov or (800) 421-3481, OCR@ed.gov.

In addition, employees have the right to file a complaint with the Federal Equal Employment Opportunity Commission or the California Department of Fair Employment and Housing, which have the authority to remedy violations.

XVI. Informational Resources
Information on sexual misconduct, as well as copies of Caltech’s Sexual Misconduct, Nondiscrimination and Equal Employment Opportunity, Unlawful Harassment, and Violence Prevention Policies are available from Caltech’s Title IX Coordinator and Deputy Coordinators, Caltech’s EEO Coordinators, Human Resources, Student Affairs and Deans offices, the Caltech Center for Diversity, Resident Associates, the Staff and Faculty Consultation Center, and Employee & Organizational Development at campus, and the Deputy Title IX Coordinator, EEO Coordinator, and Human Resources Business Partners at JPL. The Policies are published in the Caltech Catalog and on the following Caltech and JPL websites: Caltech Human Resources, JPL Human Resources, Title IX, and Student Affairs.
Caltech will take prompt and appropriate action to address all reports of sexual misconduct in a fair and impartial manner. The complainant, respondent, and all other participants in the process will be treated with dignity, care, and respect. Caltech will conduct a fair, impartial, timely, and thorough investigation that provides all parties with appropriate due process to ensure that the parties receive notice and an opportunity to be heard as described in these and related procedures.

PROCEDURES FOR RESPONDING TO AND RESOLVING COMPLAINTS OF SEXUAL MISCONDUCT AT CALTECH

These procedures are for the benefit of the Caltech community and do not apply in cases involving complainants and/or respondents who are not current Caltech students, faculty, staff, postdoctoral scholars, volunteers, and interns. When a complaint involves a third party who is not affiliated with Caltech, Caltech’s ability to investigate and take action against the person accused of sexual misconduct may be limited. However, in all cases, Caltech will conduct an inquiry into what occurred and take prompt action as is practicable to provide for the safety and well-being of the complainant and the campus community.

Reporting to Caltech
A member of the Caltech community who wishes to report sexual misconduct should do so as soon as possible after the incident, although reports (hereinafter “complaints”) may be made at any time. Complaints can be made orally or in writing. Complaints should be brought to the attention of the Title IX Coordinator or a Deputy Title IX Coordinator, or other Responsible Employee listed in the policy, who will then notify the Title IX Coordinator in cases falling under Title IX.

TITLE IX COORDINATOR

FELICIA HUNT
(faculty, staff, postdoctoral scholars, and students)
Office: 205 Center for Student Services
(626) 395-3132
TitleIXCoordinator@caltech.edu
Informal Options

Individuals who believe they have been subjected to sexual misconduct may choose to resolve their concerns informally. In general, the goal of the informal options is to quickly end offending behavior without utilizing disciplinary action. Individuals with an official status at Caltech, such as faculty, managers, or supervisors, are expected to follow up with the complainant to make sure that the issue has indeed been resolved. Mutually agreeable administrative changes are sometimes possible to ease an uncomfortable situation. Individuals are not required to try to resolve their concerns informally before making a formal complaint.

Complainants should consider at the outset whether such changes might be desirable. Informal options include:

- Talking personally with the offending individual, or writing a letter asking them to stop. This is a personal step taken solely among the relevant parties.
- Speaking to members of the Student Counseling Services, the Staff and Faculty Consultation Center, or the Caltech Center for Diversity on campus and the JPL Employee Assistance Program/Life Matters at JPL. Such conversations are confidential and are not communicated to individuals within or outside Caltech.
- Resolving the complaint informally with the help of a third party who has a faculty, supervisory, or managerial position at Caltech. The goal here is also to allow the parties to resolve complaints without an investigation and without elevating the complaint within Caltech. However, a person in one of these official positions is obligated to follow up with the Title IX Coordinator and complainant to be sure the situation has been resolved. This action might include referring the complaint to an appropriate individual within Caltech or sharing some of this information with other persons holding positions of responsibility at Caltech.

Interim Measures

Upon receipt of a report of sexual misconduct, Caltech will take prompt measures to protect the rights of both the complainant and the respondent as appropriate. Caltech will immediately assess whether there is a threat to the complainant, the respondent, and/or other members of the community and will take steps necessary to address such risks. These steps may include interim safety measures, which may be made at any time, to provide for the safety of individuals and the campus community.

Administrative changes and/or academic changes may be made, if requested and reasonably available, at any stage in the process to protect the rights of either party. They will be made by the appropriate administrators. For students, these changes might include changes to housing arrangements, counseling services, academic accommodations, “no contact” orders, stay away letters, or persona non grata status, escorts, limitations on extracurricular or house activities, changes to classes and/or housing, Caltech-imposed leave for the respondent, as well as any other remedy that can be tailored to the involved individuals to achieve the goals of this policy.

Changes affecting faculty and staff, including employees at JPL, might include transfer of supervisory or evaluative responsibility regarding grading, supervision, tenure review, letters of recommendation, and/or changes to office assignments.

When taking steps to separate a complainant and respondent, Caltech will endeavor to minimize the burden on the complainant. Care will be taken to protect both parties with the greatest degree of privacy possible. If a complainant wishes to seek a temporary restraining order or similar judicial order, Caltech will help the complainant with that process.

Future measures for the broader Caltech community may include but are not limited to: developing materials on sexual misconduct, further training for faculty, students, postdoctoral scholars, and staff regarding Title IX, education of students on bystander intervention and/or sexual violence prevention, or taking steps to clearly communicate that Caltech does not tolerate sexual misconduct and will respond to any incidents and to any individual covered by these procedures who reports such incidents.
Initial Title IX Assessment

For reports of sexual misconduct covered by Title IX, Caltech’s Title IX Coordinator or designee will make an initial assessment of the complaint which will include an immediate assessment of any risk of harm to individuals or to the campus community and will take steps necessary to address those risks. These steps may include interim protective measures to provide for the safety of the complainant and the campus community as described above.

The complainant will be provided with information on the complainant’s rights and options under the Institute’s Sexual Misconduct policy and these procedures, written materials about the availability of, and contact information for, on- and off-campus resources and services, and coordination with law enforcement. The need for and types of interim measures also will be discussed.

The Title IX Coordinator may also meet with the respondent and other relevant parties as part of the initial assessment. If the Title IX Coordinator meets with the respondent, the individual will be provided with information on the respondent’s rights and options under the Institute’s Sexual Misconduct policy and these procedures, and written materials about the availability of, and contact information for, campus resources and services.

The initial assessment will proceed to the point where a reasonable assessment of the safety of the individual and of the campus community can be made, whether there is a potential violation of the Sexual Misconduct policy, and, if there is a potential policy violation, an appropriate approach to resolution can be determined. Thereafter, the Title IX Coordinator may refer the complaint for formal investigation, administrative resolution, or other appropriate disposition, depending on a variety of factors, such as the complainant’s request that their name not be used, complainant’s request that no investigation into a particular incident be conducted or that no disciplinary action be taken, the risk posed to any individual or the campus by not proceeding, the nature and seriousness of the allegations, whether there have been other reports/complaints of sexual misconduct involving the respondent, and whether the allegations are contested. The Title IX Coordinator will obtain the complainant’s agreement to proceed with the proposed approach to resolution, whether it be a formal investigation, administrative resolution or another alternative approach. In implementing the approach, the Title IX Coordinator will inform and coordinate with the appropriate responsible Caltech official(s): Provost, EOD Director, Deans, Associate Deans, Associate Vice President for Human Resources on campus, or Director for Human Resources at JPL.

Caltech will investigate reports of sexual misconduct consistent with its obligations under applicable law. The Title IX Coordinator will seek consent from the complainant to proceed with a formal investigation or an administrative resolution. If the complainant requests confidentiality or asks that the complaint not be pursued, Caltech will still take all reasonable steps to investigate or otherwise determine what occurred and respond to the report. If the Complainant refuses to have their name disclosed to the respondent, the Title IX Coordinator will explain that Caltech’s ability to investigate and respond may be limited. If the complaint includes allegations that may constitute a possible crime, the Title IX Coordinator will notify the complainant of their right to file a criminal complaint or to choose not to notify law enforcement.

In cases of alleged sexual misconduct at JPL not falling under Title IX, the above described initial assessment will be done by the JPL Officer or their designee.

Administrative Resolution

In cases covered by Title IX, the Title IX Coordinator or designee, with the complainant’s and the respondent’s agreement, may offer the opportunity to resolve the sexual misconduct complaint by Administrative Resolution. Administrative Resolution provides an opportunity for the respondent to accept responsibility for their alleged conduct and proceed to a resolution without a formal investigation. Complainants and respondents participating in this process may have an advisor of their choice accompany them when reporting, or responding to, allegations of sexual misconduct. The advisor may not speak on behalf of the individual they are accompanying.
If the Administrative Resolution option is agreed to by a complainant, the Title IX Coordinator will meet with the respondent to review the allegations. The Title IX Coordinator will provide the respondent with information on the respondent’s rights and options under the Institute’s Sexual Misconduct policy and these procedures, and written materials about the availability of, and contact information for, campus resources and services. The Title IX Coordinator will offer the respondent the opportunity to resolve the complaint by Administrative Resolution by accepting responsibility for the alleged conduct. If the respondent elects to acknowledge that the alleged conduct occurred and takes responsibility for the alleged sexual misconduct, the respondent will sign a written acknowledgement and the matter will be referred to the appropriate dean for a decision concerning sanctions and any other remedial action that may be appropriate. The complainant and respondent will both be notified simultaneously in writing of the resolution, including any sanctions against the respondent. Either party may appeal the sanction imposed.

In cases of alleged sexual misconduct at JPL not falling under Title IX, the above described Administrative Resolution process will be administered by the JPL EEO Officer or their designee.

If the respondent contests responsibility for the alleged conduct, the Administrative Resolution process will be concluded and the case will be referred for formal investigation or other resolution as appropriate.

**Student Policy Violations: Complainants and Witnesses**

A student who participates as a complainant or witness in an investigation of sexual assault, dating violence, domestic violence or stalking will not be subject to disciplinary sanctions for a violation of Caltech’s student conduct policies, including but not limited to the Substance Abuse policy, at or near the time of the incident, unless Caltech determines that the violation was egregious, including but not limited to, an action that places the health or safety of any other person at risk or involves plagiarism, cheating, or academic dishonesty.

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**Formal Investigation**

The following procedures apply to formal investigations of sexual misconduct complaints. For complaints involving students, the Title IX Coordinator will oversee the investigation. For complaints not involving students, the Title IX Coordinator will refer the investigation to Human Resources if the respondent is a staff member, volunteer, or postdoctoral scholar, or to the Provost’s office if the respondent is a faculty member or other academic personnel. The Title IX Coordinator will be informed of the outcome of the investigation and any appeal in order to carry out their responsibilities to monitor outcomes, identify and address any patterns, and assess effects on the campus climate.

- The purpose of the investigation is to determine the facts relating to the complaint.
- All participants involved in the investigation will receive a fair and impartial process and be treated with dignity, care, and respect.
- The complainant and respondent may have an advisor of their choice accompany them when reporting, or responding to, allegations of sexual misconduct. The advisor may not speak on behalf of the individual they are accompanying.
- Caltech’s investigation will occur independently from any legal/criminal proceedings that may take place. Caltech may defer fact gathering for an appropriate time during a criminal investigation.
- Investigators will be trained regularly in issues related to sexual misconduct and how to conduct an investigation process that protects the safety of all involved and promotes accountability. The investigators chosen must be impartial and free of any conflict of interest.
- The complainant and respondent will be provided with a copy of the Sexual Misconduct policy and accompanying procedures, informed of the relevant procedures, and may object to the investigator(s) on the grounds that the investigator has a conflict or cannot be impartial by notifying the appropriate Caltech official in writing. Objections will be evaluated and the parties will be notified in writing of the determination.
- Within a reasonable length of time after the complaint has been filed, the respondent will be notified in writing of the nature and alleged factual bases underlying the complaint and an investigation will begin. If interim measures are needed to protect the rights of the complainant and/
or respondent during the investigation, the Title IX Coordinator will see that they are made.

- The complainant and respondent will be informed that Caltech does not tolerate retaliation, takes steps to prevent retaliation, and takes strong responsive action if retaliation occurs. The complainant and respondent will be advised to notify Caltech immediately of any retaliation that occurs.

- The investigator(s) will summarize for the respondent the evidence in support of the complaint to allow the respondent the opportunity to respond.

- The investigation will be treated as private to the extent possible and all parties will be advised to maintain privacy. Caltech administrators will be informed on a need-to-know basis. Caltech will make reasonable and appropriate efforts to preserve the complainant’s and respondent’s privacy and protect the confidentiality of information.

- The complainant and respondent will be given equal opportunity to present their cases separately to the investigator(s), to suggest others who might be interviewed, and to present other evidence. The investigator(s) may, if appropriate, interview other parties to reach findings and conclusions.

- In complaints covered by Title IX, the investigators will investigate any allegations that alcohol or drugs were involved in the incident.

- Consistent with federal and state law, the investigators will not ask questions or seek evidence of the complainant’s prior sexual conduct with anyone other than the respondent. Furthermore, evidence of a prior consensual sexual, romantic or intimate relationship between the complainant and respondent itself does not imply consent or preclude a finding of sexual misconduct.

- All parties who participate in investigative interviews may submit written statements. Investigatory meetings will not be recorded.

- Both parties will be kept informed of the status of the investigation.

- Complaints will be investigated and resolved within a reasonably prompt time frame after the complaint has been made, generally within 60 days (not including any appeal), though this time frame may be extended depending on factors, including but not limited to, the complexity of the case.

- The complainant and the respondent will be notified in writing of the outcome of the proceedings and any change in the result that occurs prior to the result becoming final at the same time. Such notice shall include the option to appeal.

- Investigative files for students will be maintained in the Title IX Coordinator’s office. Investigative files for staff and faculty will be maintained in Human Resources and the Provost’s Office, respectively.

- Extensions of time, and other exceptions to or modification of these procedures can be made by the Title IX Coordinator or designee, Provost, Dean or Associate Deans, Associate Vice President for Human Resources, or Director for Human Resources at JPL.

**Standard of Evidence**

The investigator(s) will use the preponderance of evidence standard in determining whether sexual misconduct occurred. A preponderance of the evidence means that it is more likely than not that the incident occurred. When the investigator(s) is presented with two different but plausible versions of the incident, credibility determinations may affect the outcome.

**Findings and Conclusions**

The investigator(s) will report their findings and conclusions regarding the charges to the appropriate Caltech official from the same area as the respondent—the Provost for faculty, the relevant Dean for students, the Executive Director of Human Resources for postdoctoral scholars and campus staff, or the Deputy Director for Human Resources at JPL for JPL employees.

The conclusions that the investigation might reach include, but are not limited to, the following possibilities:

1. A violation of Caltech policy occurred.
2. Inappropriate behavior occurred, but did not constitute a violation of Caltech policy.
3. The complaint was not supported by the evidence.
4. The complaint was brought without any basis or without a reasonable, good faith belief that a basis existed.
Resolution
As soon as practicable after receiving the findings and conclusions of the investigator(s), the appropriate Caltech official from the same area as the respondent, the Provost for faculty, the relevant Dean for students, the Executive Director of Human Resources for postdoctoral scholars and campus staff, or the Deputy Director for Human Resources at JPL for JPL employees, will make a decision concerning resolution of the complaint, including imposing sanctions against the respondent if appropriate. The complainant and respondent simultaneously will be informed in writing of the results of the investigation and the parties’ right to appeal and the procedures for appeal.

If a violation of Caltech’s Nondiscrimination and EEO, Unlawful Harassment or Sexual Misconduct policy or policies has occurred, appropriate sanctions will be imposed. Depending on the severity of the case and the respondent’s role at Caltech, any one or more of the sanctions listed below may be imposed:

- Verbal warning
- Training
- Mandatory counseling/coaching
- A formal written warning placed in the respondent’s file
- Exclusion from participation in certain activities for specified period of time
- Suspension of the right to accept new graduate students or postdoctoral scholars
- Transfer of advisees
- Removal from positions of administrative responsibility
- Removal from housing
- Removal from a supervisory position
- Involuntary leave of absence/suspension
- Expulsion
- Termination of employment
- Permanent separation from the Institute
- Revocation of admission
- Other sanctions instead of, or in addition to, those specified above
- Multiple sanctions may be imposed

If the respondent was found not to have violated Caltech’s policy on sexual misconduct, but the investigation concluded that the individual violated another Caltech policy, or committed some other wrongful or improper act, appropriate corrective action will be taken. Effective corrective action may also require remedies for the complainant and/or the broader Caltech community. Caltech will take appropriate measures to prevent the reoccurrence of any sexual misconduct, and to correct any discriminatory effects on the complainant and others, as appropriate.

Results of disciplinary proceedings may be disclosed consistent with applicable law, including FERPA, Title IX, and the Clery Act. Upon request, Caltech will disclose the results of a disciplinary proceeding against a student who is the alleged perpetrator of any crime of sexual violence to the alleged victim.

Appeals
Appeals must be in writing and submitted within ten (10) days of notification of the decision. Appeals of decisions resulting from the Formal Investigation process must be on the grounds that a procedural error occurred that significantly affected the outcome of the investigation or the sanction is substantially disproportionate to the findings. Appeals of decisions resulting from the Administrative Resolution process must be made on the grounds that the sanction is substantially disproportionate to the acknowledged conduct.

The complainant and the respondent simultaneously will be informed, in writing, of the outcome of the appeal. Appeal decisions are final.

Decisions of the Provost may be appealed to the Office of the Provost or designee. Decisions of the Dean of Undergraduate Students or Dean of Graduate Studies may be appealed to the Vice President for Student Affairs or designee. Decisions of the Executive Director for Human Resources may be appealed to the Associate Vice President of Human Resources or designee. Decisions of the Deputy Director for Human Resources at JPL may be appealed to the Director for Human Resources at JPL or designee.
Further Complaints

If the corrective action does not end the sexual misconduct, the complainant should immediately notify the Title IX Coordinator or a Deputy Title IX Coordinator, the Provost or a Division Chair, Dean or Associate Dean, EOD Director; or, at JPL, the Section Manager, Talent Management. In such cases, the complainant has the right to file another complaint.

Related Policies:

Nondiscrimination and Equal Employment Opportunity

Unlawful Harassment

Violence Prevention
The Campus Sex Crimes Prevention Act requires the tracking of convicted sex offenders enrolled at or employed by institutions of higher education. In addition, California state law requires sex offenders to register with local law enforcement and also register with the campus security office of higher education institutions at which the person is employed, carries on a vocation, or is a student. For Caltech, the Pasadena Police Department represents local law enforcement for registering and getting information regarding sex offenders in the area. To identify local sex offenders, online access is available at http://meganslaw.ca.gov/.
At the beginning of each academic year, Caltech will provide students with information about its missing student notification procedures for students who reside in on-campus student housing facilities.

The information will include the following:

- Students have the option of identifying an individual to be contacted by Caltech within 24 hours after the time the student has been determined to be missing.

- Undergraduates can register their confidential contact information with the Dean of Students Office (626-395-6351) and graduates can register it with the Office of Graduate Studies (626-395-6346). This information will be accessible only to authorized campus officials and may not be disclosed except to law enforcement personnel in a missing person investigation. If a student chooses not to provide a confidential contact and is deemed to be missing, Caltech will notify the student’s emergency contact or parent.

- If the student is under 18 years of age, and not an emancipated individual, Caltech is required to notify a custodial parent or guardian within 24 hours of the determination that the student is missing, in addition to any additional contact person designated by the student.

- Caltech will notify the appropriate law enforcement agency within 24 hours after the time that the student is determined to be missing.

- If Caltech Security or law enforcement personnel have been notified and subsequently make a determination that a student who is the subject of a missing person report has been missing for 24 hours and has not returned to campus, Caltech will initiate the emergency contact procedures in accordance with the student’s designation.

- Caltech will follow this notification procedure for a missing student who resides in on-campus housing.

- Any faculty, staff, or student who believes a student is missing or has been missing for 24 hours, must immediately notify Security. Once Caltech receives this missing student report, Security will notify the following offices and administrators:
  
  a. Vice President for Student Affairs and the deans
  
  b. Director of Housing and the Senior Director, Student Activities and Programs.

- Any official missing person report relating to this student shall be immediately referred to Security.

- If Security, after investigating the report, determines that a student has been missing for 24 hours, Caltech will contact the individual identified by the student, the custodial or legal guardian, if the student is under 18 and not emancipated, and local law enforcement within 24 hours.

The full text of the Missing Student Policy and Procedure can be found at: https://studaff.caltech.edu/documents/4-missing_student_policy.pdf.
Fire Safety
The mission of the Environment, Health, and Safety (EHS) Office is to facilitate innovative research at Caltech through a comprehensive safety program that promotes the health and safety of students, faculty, staff, and visitors. Through education, training, and information, safety awareness and practices are integrated into all activities at Caltech.

The EHS office provides supporting services to the campus, including monitoring evacuation and emergency drills and safety training for new students, staff, and faculty, and helps develop building-specific emergency action plans. EHS also partners with City of Pasadena Fire Department activities such as training, response activities, and building inspection visits.

Log
The EHS Office maintains a fire log that contains information on all fires occurring in on-campus housing. The fire log includes the date that the fire was reported, the nature of the fire, the date and time of the fire, and the general location of the fire. The fire log for the most recent 60-day period is available here. A fire log with older entries is available within two business days of a request to view it. To make such a request, please contact the EHS Office at (626) 395-6727.

Annual Report
Under the provisions of “The Campus Fire Safety Right-to-Know Act,” incidents involving fire in student residential facilities are compiled and reported annually by EHS in this Annual Security and Fire Safety Report. This report contains:

- Fire safety practices and standards at Caltech
- Evacuation procedures
- Description of the fire safety system for each student residential facility
- Fire statistics (number of fires, injuries, property damage)

Copies of this report are available during normal working hours at the EHS Office located in Room 25 on the lower level of the Keith Spalding Building or online at http://www.safety.caltech.edu/.

Fire Safety Policy and Procedures
Caltech’s Fire Safety Policies and Procedures for students is posted on the Student Affairs website, and includes rules for portable electrical appliances and open flames in student housing facilities.

Barbecues: Prior to their initial use, barbecues must be approved by Housing. Gas burning barbecues are permitted. Charcoal barbecues are only permitted for use in conjunction with Dining Services events. Propane tanks must be stored separately from the barbecues when not in use. Barbecues may only be used outdoors. Dining Services will provide storage for propane tanks at the Chandler cage dock. Propane tanks cannot be stored indoors.

Bonfires: Bonfires are not permitted on campus.

Candles: Candles and any other open-flame items are not permitted in campus housing.

Decorations: In general, decorations must not cover, block, or hide exit signs, lights, or fire safety equipment. To the extent possible, students should minimize the amount of combustible materials that are used and/
or stored in living areas. Decorations such as fishnets, parachutes, and fabrics are a source of fuel and can spread a fire. Old newspapers, cardboard boxes, and magazines can also accelerate a fire. Particular attention should be given to decorations for special occasions. Freshly cut Christmas trees must be treated with fire retardant and artificial trees must be labeled as made of non-combustible material. Fresh cut Christmas trees must be taken down within a certain time limit. Trees cannot be stored on any off-campus alleys. Any fire safety equipment including, but not limited to, smoke detectors, pull stations, fire sprinklers, etc., must not be painted over or covered at any time.

Electrical Appliances: All equipment utilized (lights, halogen lights, wires, plugs, connections, etc.) must be Underwriters Laboratories (UL) or Factory Mutual (FM) approved and in good condition. Pole or torchiere halogen lamps are not permitted. The use of improvised wiring and multi-outlet adapters (i.e., adapters that allow two or more appliances to be plugged into one outlet) are prohibited. Extension cords are not allowed but surge protectors or power strips are allowed as long as they are not ganged or joined together. Electrical cooking appliances such as coffee pots and hot plates and other cooking appliances must be used only in kitchen areas, and should be attended at all times while in use. Housing-approved space heaters may be used in student rooms and must be attended while in use.

Explosives and Improvised Explosive Devices: Explosives, including fireworks, are extremely hazardous, and it is illegal and against Institute policy to possess manufactured or improvised explosives in a residence or living quarters. Use and storage of explosives is strictly controlled by local, state, and federal laws and with the exception of a few specific research labs, are not allowed on campus. Explosive materials used for the Fleming Cannon are contained in an appropriate storage magazine. The Bureau of Alcohol, Tobacco, and Firearms (BATF) regulates types of explosives from fireworks to dynamite. See http://www.gpo.gov/fdsys/pkg/FR-2011-10-19/pdf/2011-26963.pdf for the latest list of such materials. Misuse of chemicals and stockroom privileges is a serious matter.

Flammable Liquids and Gases: Flammable liquids and gases pose a particular hazard when stored or used in living areas. The hazard is typically created by the evaporation of fuels or solvents in confined spaces mixing with air to form a flammable region and ignition by open-flame pilot lamps, stoves, cigarette lighters, or faulty wiring. Gasoline, acetone, camping stove fuel (white gas or butane), lighter fuel, and propane torch canisters are common items that supply the fuel. The propellant in aerosol spray cans (paint) is also a flammable gas in some cases. No such materials may be used or stored in student living areas. Certain household combustibles such as hair spray and nail polish are exempt from this requirement and may be possessed by students in their living areas. Mopeds and motorcycles must not be stored inside residences since their gas shut-off valves can leak or not be properly used, creating a flammable vapor hazard. Caltech does not provide campus residences with approved storage locations for flammable materials.

Electronic Cigarettes: Caltech prohibits the use, possession, and storage of electronic cigarettes in all Caltech Housing locations.

Fire Alarms: It is a violation of Institute policy to intentionally set off a false fire alarm. Actions such as setting off a false fire alarm, tampering with or disabling a fire alarm, or suppressing a warning device are illegal and may result in criminal penalties as well as campus disciplinary actions.

Fire Doors: Fire doors must be kept closed at all times.

Fire Drills and Evacuation Procedures: Students must understand and conform to all Institute procedures for fire drills and evacuation procedures. Housing provides evacuation procedures, which can be found on the back of each student residence room door. When a fire alarm is sounded, all individuals in the building must exit promptly to their designated evacuation site, and must cooperate with any responding emergency personnel.

Fire Extinguishers: Fire extinguishers are located, labeled, and maintained by Caltech Environment, Health, and Safety (EHS) so that they may be easily identified and remain in good operating condition. All fire extinguishers are checked monthly by Safety to provide reasonable assurance that they operate properly.
Hallways and Walkways: Hallways, walkways, exit corridors, staircases, doors, and passageways leading to exits must be kept clear of all items that may obstruct the hallway or impede evacuation. Caltech’s Safety, Housing, Security, and Facilities Management offices reserve the right to remove any combustible materials or items that may impede normal passage or evacuation routes.

Hoverboards: Caltech prohibits the use, possession, and storage of hoverboards, hands-free Segways, and self-balancing scooters (collectively “hoverboards”) on campus and in campus-owned or -controlled buildings. When safety standards are developed and implemented by the manufacturers, this prohibition will be revised.

Indoor Fireplaces: Indoor fires are permitted only in fireplaces inside the student houses and apartments. These fireplaces must be used safely in accordance with accepted practices. The fireplace screens must not be removed. The burning of wood or other materials is strictly forbidden.

Open Burning: No open burnings shall be allowed on Institute property.

Outdoor Fireplaces: Outdoor fireplaces are not permitted on Institute property.

No Smoking Policy: Residents will not smoke in or around the premises and agree to keep the premises smoke free (including use of e-cigarettes) at all times.

Fire Evacuation Drills
The Office of Student Affairs and EHS conducted four fire evacuation drills for all on-campus housing during the 2016 calendar year. Participation in fire evacuation drills is mandatory.

Procedures for Student Housing Evacuations
Evacuation procedures are posted on the back of each on-campus student’s room door, which has a building map to identify the closest exit for each room. When an alarm is sounded, all individuals in the building must exit promptly to their designated emergency assembly areas, and must cooperate with any responding emergency personnel.

Policies Regarding Fire Safety Training and Education
The objective of the Institute’s fire safety training is to increase awareness about fire safety, to provide fire safety training through demonstration, and to provide information to enable students to respond to a fire emergency.

Caltech offers various fire safety training opportunities to all students, faculty, and employees. Training opportunities are listed on the EHS website under the Training tab at http://www.safety.caltech.edu/training.

New incoming students, faculty, and staff are offered initial fire safety training during orientation events such as Frosh Welcoming and New Researcher Training, and at the Institute’s New Employees forum.

Residential life coordinators (RLCs) and resident associates (RAs) receive fire safety training on an annual basis. Training includes information on the use of a fire extinguisher, evacuation assembly areas for their buildings, the contents and use of their portable emergency equipment bags, and specific fire policies for student housing.

Several publications are also available that include pertinent information on fire safety. These include the New Student Orientation Guide, the Resident Guide to Institute Housing, and the Caltech Emergency Guide.

Students are expected to conform to all Institute procedures for fire drills and evacuations. Housing provides evacuation procedures. When an alarm is sounded, all individuals in the building must exit promptly and proceed to their designated emergency assembly areas, and must cooperate with any responding emergency personnel.
Reporting Procedures
In case of a fire, individuals should immediately call Security dispatch at x5000. They must then provide information regarding the nature of the emergency (smoke, fire) and their name, location, and phone number. After that, they should wait for the arrival of emergency personnel at the assembly area or in a safe location.

The following persons must be notified that a fire has occurred for reporting purposes:

- Assistant Vice President for Student Affairs Operations
- Chief of Security
- Director of Environment, Health, and Safety

Plans for Future Improvements in Fire Safety
The Institute seeks annual input from students and staff to improve training material and methods used to educate incoming and returning students about fire safety. The Institute initiated an outreach effort by meeting with students at their residences to discuss and answer questions about fire safety.

This year our outreach efforts will include:
1. Continue to support our various student-led outreach efforts with the Pasadena Fire Department on promoting fire safety to undergraduates.
2. Recruit and train undergraduates in their respective Houses to assist in fire safety training (train-the-trainer).
3. Partner the Pasadena Fire Department with an Undergraduate House to create a training video on evacuating smoke-filled hallways.
## Fire Statistics

<table>
<thead>
<tr>
<th>Year</th>
<th>Location</th>
<th>Cause of Fire</th>
<th>Number of Injuries that Resulted in Treatment at a Medical Facility</th>
<th>Number of Deaths Related to a Fire</th>
<th>Value of Property Damage Caused by Fire</th>
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<tr>
<td>2014</td>
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## Student Residences with No Fires Reported in 2016

<table>
<thead>
<tr>
<th>Avery</th>
<th>Blacker</th>
<th>Braun</th>
<th>Dabney</th>
<th>Fleming</th>
<th>Lloyd</th>
</tr>
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<tbody>
<tr>
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<td>Page</td>
<td>Ruddock</td>
<td>Catalina 1</td>
<td>Catalina 2</td>
<td>Catalina 3</td>
</tr>
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<td>135 S. Chester</td>
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<td>145 ½ S. Chester</td>
<td>147 S. Chester</td>
<td>147 ½ S. Chester</td>
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<td>217 S. Holliston</td>
<td>1001 E. Villa</td>
<td>150 S. Chester</td>
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</table>
## INSTITUTE FIRE SYSTEMS FOR ON-CAMPUS HOUSING

### FIRE SAFETY FEATURES
- Fully outfitted with sprinklers
- Supervised fire alarm system
- A supervised smoke detector in each sleeping room

### ON-CAMPUS HOUSING

<table>
<thead>
<tr>
<th>Avery House</th>
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</tr>
</thead>
<tbody>
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<td>Ricketts House</td>
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<td>Braun</td>
<td>Page</td>
</tr>
<tr>
<td>Lloyd</td>
<td>Ruddock</td>
</tr>
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<td>Marks</td>
<td>150 S. Chester</td>
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<td>Blacker House</td>
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<td>Dabney House</td>
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<tr>
<td>145 ½ S. Chester</td>
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</tr>
<tr>
<td>147 ½ S. Chester</td>
<td></td>
</tr>
<tr>
<td>155 S. Chester</td>
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<td>217 S. Holliston</td>
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</table>
CONCLUSION

Caltech is committed to ensuring the safety and security of its community. This report, therefore, is provided to the Institute community not just as a fall initiative or compliance effort, but as a sincere attempt to ensure that any member of this campus is able to access the information (including crime and fire statistics) and guidance (lists of services, programs, and other campus resources) it provides.
**APPENDIX A**

**Crime Statistics 2016**

<table>
<thead>
<tr>
<th>FINAL NUMBERS</th>
<th>ASR 2016 STATISTICS</th>
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<td></td>
<td>ON-CAMPUS</td>
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<tr>
<td>Murder &amp; Non-Negligent Manslaughter</td>
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<tr>
<td>Manslaughter by Negligence</td>
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<td>Fondling</td>
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<td>Stalking</td>
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</tr>
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</tr>
<tr>
<td>Arson</td>
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</table>

**WEAPONS LAW VIOLATIONS**

| Arrest                                | 1         | 0             | 0          | 0               |
| Disciplinary Referral                 | 1         | 0             | 0          | 0               |

**DRUG LAW VIOLATIONS**

| Arrest                                | 2         | 0             | 0          | 0               |
| Disciplinary Referral                 | 19        | 19            | 0          | 0               |

**LIQUOR LAW VIOLATIONS**

| Arrest                                | 0         | 0             | 0          | 0               |
| Disciplinary Referral                 | 39        | 39            | 0          | 0               |
| *Hate Crimes                          | 1         | 1             | 0          | 0               |

*Hate Crimes:
(1) Intimidation based on gender identity on campus

No unfounded crimes for 2016

Statistics may overlap for dating violence, rape and stalking
**Crime Statistics 2015**

<table>
<thead>
<tr>
<th>FINAL NUMBERS</th>
<th>ASR 2015 STATISTICS</th>
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<td>Rape</td>
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<tr>
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</tbody>
</table>

**Hate Crimes:**
1. Vandalism based on gender on campus
2. Vandalism based on gender identity on campus
3. Intimidation based on sexual orientation on campus

No unfounded crimes for 2015
### Crime Statistics 2014

#### FINAL NUMBERS

<table>
<thead>
<tr>
<th>Crime</th>
<th>ON-CAMPUS</th>
<th>RES. FACILITY</th>
<th>NON-CAMPUS</th>
<th>PUBLIC PROPERTY</th>
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<tr>
<td>Murder &amp; Non-Negligent Manslaughter</td>
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<tr>
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#### WEAPONS LAW VIOLATIONS

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<tr>
<th>Crime</th>
<th>ON-CAMPUS</th>
<th>RES. FACILITY</th>
<th>NON-CAMPUS</th>
<th>PUBLIC PROPERTY</th>
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</thead>
<tbody>
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<td>Arrest</td>
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<td>Disciplinary Referral</td>
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#### DRUG LAW VIOLATIONS

<table>
<thead>
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<th>NON-CAMPUS</th>
<th>PUBLIC PROPERTY</th>
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#### LIQUOR LAW VIOLATIONS

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<td>*Hate Crimes</td>
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</tbody>
</table>

*Hate Crimes:

(1) Vandalism based on religion on campus
(1) Vandalism based on national origin on campus
(1) Intimidation based on sexual orientation on campus

No unfounded crimes for 2014
**APPENDIX B**

**Clery CRIME DEFINITIONS as defined by the FBI Uniform Crime Reporting (UCR)**

**Sex Offenses**
Any sexual act directed against another person, without the consent of the victim, including instances where the victim is incapable of giving consent.

**Rape**
The penetration, no matter how slight, of the vagina or anus with any body part or object, or oral penetration by a sex organ of another person, without the consent of the victim.

**Fondling**
The touching of the private body parts of another person for the purpose of sexual gratification, without the consent of the victim, including instances where the victim is incapable of giving consent because of his/her age or because of his/her temporary or permanent mental incapacity.

**Incest**
Sexual intercourse between persons who are related to each other within the degrees wherein marriage is prohibited by law.

**Statutory Rape**
Sexual intercourse with a person who is under the statutory age of consent.

**Domestic Violence**
The term “domestic violence” includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, or by any other person against an adult or youth victim who is protected from that person’s acts under California’s domestic or family violence laws.

**Stalking**
The term “ stalking” means engaging in a course of conduct directed at a specific person that would cause a reasonable person to (a) fear for his or her safety or the safety of others; or (b) suffer substantial emotional distress.

**Dating Violence**
The term “dating violence” means violence committed by a person (a) who is or has been in a social relationship of a romantic or intimate nature with the victim; and (b) where the existence of such a relationship shall be determined based on a consideration of the following factors:

i. The length of the relationship;
ii. The type of relationship; and
iii. The frequency of interaction between the persons involved in the relationship.

**Arson**
Any willful or malicious burning or attempt to burn, with or without intent to defraud, a dwelling house, public building, motor vehicle or aircraft, personal property of another, etc.
Manslaughter by Negligence
The killing of another person through gross negligence.

Murder and Non-negligent Manslaughter
The willful (non-negligent) killing of one human being by another.

Robbery
The taking or attempting to take anything of value from the care, custody, or control of a person or persons by force, threat of force or violence, and/or by putting the victim in fear.

Aggravated Assault
An unlawful attack by one person upon another for the purpose of inflicting severe or aggravated bodily injury. This type of assault usually is accompanied by the use of a weapon or by means likely to produce death or great bodily harm. (It is not necessary that injury result from an aggravated assault when a gun, knife, or other weapon is used which could and probably would result in serious personal injury if the crime were successfully completed.)

Burglary
The unlawful entry of a structure to commit a felony or a theft.

Motor Vehicle Theft
The theft or attempted theft of a motor vehicle.

Weapons: Carrying, Possessing, Etc.
The violation of laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, concealment, or use of firearms, cutting instruments, explosives, incendiary devices, or other deadly weapons.

Drug Law Violations
The violation of laws prohibiting the production, distribution, and/or use of certain controlled substances and the equipment or devices utilized in their preparation and/or use. The unlawful cultivation, manufacture, distribution, sale, purchase, use, possession, transportation, or importation of any controlled drug or narcotic substance. Arrests for violations of state and local laws, specifically those relating to the unlawful possession, sale, use, growing, manufacturing, and making of narcotic drugs.

Liquor Law Violations
The violation of state or local laws or ordinances prohibiting the manufacture, sale, purchase, transportation, possession, or use of alcoholic beverages, not including driving under the influence and drunkenness.

Larceny-Theft (Except Motor Vehicle Theft)
The unlawful taking, carrying, leading, or riding away of property from the possession or constructive possession of another. Attempted larcenies are included. Embezzlement, confidence games, forgery, worthless checks, etc., are excluded.

Simple Assault
An unlawful physical attack by one person upon another where neither the offender displays a weapon nor the victim suffers obvious severe or aggravated bodily injury involving apparent broken bones, loss of teeth, possible internal injury, severe laceration, or loss of consciousness.

Intimidation
To unlawfully place another person in reasonable fear of bodily harm through the use of threatening words and/or other conduct, but without displaying a weapon or subjecting the victim to actual physical attack.

Destruction/Damage/Vandalism of Property
To willfully or maliciously destroy, damage, deface, or otherwise injure real or personal property without the consent of the owner or the person having custody or control of it.
California Definitions of Domestic and Dating Violence, Stalking, and Sexual Assault

Caltech’s policy defines domestic violence, dating violence, sexual assault, and stalking for purposes of Caltech’s response to the policy violation. When a victim reports a crime to the police, the police and district attorney will look to the California Penal Code definitions of the crime, which are summarized below.

Domestic violence (including dating violence) is defined by California Penal Code sections 243 and 273.5 as: When a person willfully inflicts bodily injury resulting in a traumatic condition upon a victim who is or was one or more of the following: (a) the offender’s spouse or former spouse; (b) the offender’s cohabitant or former cohabitant; (c) the offender’s fiancé or fiancée, or someone with whom the offender has, or previously had, an engagement or dating relationship; (d) the mother or father of the offender’s child. Dating relationship means frequent, intimate associations primarily characterized by the expectation of affection or sexual involvement independent of financial considerations.

Stalking in California is defined by California Penal Code section 646.9 as: Anyone who willfully, maliciously, and repeatedly follows or willfully and maliciously harasses a person and who makes a credible threat with the intent to make the person fear for their safety or the safety of their family.

Crimes generally known as “sexual assault,” are prosecuted in California as the crimes of sexual battery, rape, criminal sodomy, criminal oral copulation, and sexual penetration.

Sexual battery is defined by California Penal Code section 243.4 as: Any person who touches an intimate part of another person while that person is unlawfully restrained by the accused or an accomplice, and if the touching is against the will of the person touched and is for the purpose of sexual arousal, sexual gratification, or sexual abuse, is guilty of sexual battery; any person who touches an intimate part of another person who is institutionalized for medical treatment and who is seriously disabled or medically incapacitated, if the touching is against the will of the person touched, and if the touching is for the purpose of sexual arousal, sexual gratification, or sexual abuse; any person who touches an intimate part of another person for the purpose of sexual arousal, sexual gratification, or sexual abuse, and the victim is at the time unconscious of the nature of the act because the perpetrator fraudulently represented that the touching served a professional purpose; any person who, for the purpose of sexual arousal, sexual gratification, or sexual abuse, causes another, against that person’s will while that person is unlawfully restrained either by the accused or an accomplice, or is institutionalized for medical treatment and is seriously disabled or medically incapacitated, to masturbate or touch an intimate part of either of those persons or a third person; any person who touches an intimate part of another person, if the touching is against the will of the person touched, and is for the specific purpose of sexual arousal, sexual gratification, or sexual abuse. Touching means physical contact with another person, whether accomplished directly, through the clothing of the person committing the offense, or through the clothing of the victim.

Rape is defined by California Penal Code sections 261 and 262.

Section 261 defines rape as: An act of sexual intercourse accomplished with a person not the spouse of the perpetrator, where a person is incapable, because of a mental disorder or developmental or physical disability, of giving legal consent, and this is known or reasonably should be known to the person committing the act; where it is accomplished against a person’s will by means of force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the person or another; where a person is prevented from resisting by any intoxicating or anesthetic substance, or any controlled substance, and this condition was known, or reasonably should have been known by the accused; where a person submits under the belief that the person committing the act is someone known to the victim other than the accused, and this is known to the accused; where a person submits under the belief that the person committing the act is someone known to the victim other than the accused, and this belief is induced by any artifice, pretense, or concealment practiced by the accused, with intent to induce the belief; where the act is accomplished against the victim’s will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the act is
accomplished against the victim’s will by threatening to use the authority of a public official to incarcerate, arrest, or deport the victim or another, and the victim has a reasonable belief that the perpetrator is a public official.

Section 262 defines the rape of a person who is the spouse of the perpetrator as: An act of sexual intercourse accomplished against a person’s will by means of force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the person or another; where a person is prevented from resisting by any intoxicating or anesthetic substance, or any controlled substance, and this condition was known, or reasonably should have been known, by the accused; where a person is at the time unconscious of the nature of the act, and this is known to the accused; where the act is accomplished against the victim’s will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the act is accomplished against the victim’s will by threatening to use the authority of a public official to incarcerate, arrest, or deport the victim or another, and the victim has a reasonable belief that the perpetrator is a public official.

Sodomy is defined by California Penal Code section 286 as: Sexual conduct consisting of contact between the penis of one person and the anus of another person, where the act is accomplished against the victim’s will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the act is accomplished against the victim’s will by threatening to use the authority of a public official to incarcerate, arrest, or deport the victim or another, and the victim has a reasonable belief that the perpetrator is a public official.

Oral copulation is defined by California Penal Code section 288a as: The act of copulating the mouth of one person with the sexual organ or anus of another person, when accomplished against the victim’s will by means of force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the victim or another person; where accomplished against the victim’s will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the victim is at the time incapable, because of a mental disorder or developmental or physical disability, of giving legal consent, and this is known or reasonably should be known to the person committing the act; where the victim is at the time unconscious of the nature of the act and this is known to the person committing the act; where the victim is prevented from resisting by any intoxicating or anesthetic substance, or any controlled substance, and this condition was known, or reasonably should have been known by the accused.

Sexual penetration is defined by California Penal Code section 289 as: The act of causing the penetration, however slight, of the genital or anal opening of any person or causing another person to so penetrate the defendant’s or another person’s genital or anal opening for the purpose of sexual arousal, gratification, or abuse by any foreign object, substance, instrument, or device, or by any unknown object when the act is accomplished against the victim’s will by means of force, violence, duress, menace, or fear of immediate and unlawful bodily injury on the victim or another person; when the act is accomplished against the victim’s will by threatening to retaliate in the future against the victim or any other person, and there is a reasonable possibility that the perpetrator will execute the threat; where the victim is at the time incapable, because of a mental disorder or developmental or physical disability, of giving legal consent, and this is known or reasonably should be known to the person committing the act or causing the act to be committed; where the victim is at the time unconscious of the nature of the act and this is known to the person committing the act or causing the act to be committed; where the victim is prevented from resisting by any intoxicating or anesthetic substance, or any controlled substance, and this condition was
known, or reasonably should have been known by the accused; where the victim submits under the belief that the person committing the act or causing the act to be committed is someone known to the victim other than the accused, and this belief is induced by any artifice, pretense, or concealment practiced by the accused, with intent to induce the belief; where the act is accomplished against the victim’s will by threatening to use the authority of a public official to incarcerate, arrest, or deport the victim or another, and the victim has a reasonable belief that the perpetrator is a public official.

In a prosecution where consent is an issue, California Penal Code section 261.6 defines consent as: Positive cooperation in act or attitude pursuant to an exercise of free will. The person must act freely and voluntarily and have knowledge of the nature of the act or transaction involved. A current or previous dating or marital relationship is not sufficient to constitute consent.

**Seeking a Restraining Order and Orders of Prevention**

An individual can seek a domestic violence restraining order from a California court if they have been abused or been threatened with abuse by someone with whom they have a close relationship—they are married or registered domestic partners, divorced or separated, dating or used to date, living together or used to live together (as more than roommates), are the parents together of a child, or are closely related (parent, child, brother, sister, grandmother, grandfather, in-law). Abuse does not have to be physical. Abuse can be verbal, emotional, or psychological. California Family Code 6200-6219. For help seeking a restraining order, contact Security at 626-395-5000.

For orders of protection, the Title IX office issues and enforces no contact orders. Security delivers cease and desist letters. The Title IX office and Security work with community agencies and law enforcement regarding restraining orders.
APPENDIX C

Caltech Campus Map